DOCUMENT RESUME

ED 285 308 EC 200 245

TITLE	UMTA and AoA National Conference on Transportation for the Elderly and Handicappped. Final Report (1st, Orlando, Florida, October 24-27, 1984).
INSTITUTION	Ecosometrics, Inc., Bethesda, MD.
SPONS AGENCY	Administration on Aging (DHHS), Washington, D.C.; Urban Mass Transportation Administration (DOT), Washington, D.C.
REPORT NO	DOT-1-86-04
PUB DATE	May 85
NOTE	274p.
PUB TYPE	Collected Works - Conference Proceedings (021) -- Reports - Descriptive (141) -- Information Analyses (070)
EDRS PRICE	MF01/PC11 Plus Postage.
DESCRIPTORS	Agency Cooperation; Agency Role; *Disabilities; Federal Government; *Financial Support; *Older Adults; Private Agencies; *Program Improvement; State Programs; Technical Assistance; *Transportation

ABSTRACT

This report reviews key issues and problems addressed at a national conference on transportation for the elderly and handicapped. The first section presents an executive summary, which details the following major problems (identified in the seven general sessions and four workshops): the need for more coordination of funding sources; better definition of the roles of various agencies involved in transportation for this population; more hands-on technical assistance for system operators; more information-sharing among all parties involved; more funding for such programs; more information and mechanisms for using the private sector; and a final regulation stating the responsibilities of agencies receiving federal funding for provision of such services. Conference highlights are summarized in the second section, including the conference process, remarks of key speakers, and significant considerations. Recommendations to address the identified problems are detailed in the third section. Conference evaluation reports are presented in the fourth section. Appendices (which comprise most of the volume) present a list of members on the conference advisory committee, a list of conference registrants, a list of workshop coordinators, conference agenda, and 15 papers (most describing a state transportation system) presented at the conference. (CB)

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First UMTA and AoA National Conference on Transportation for the Elderly and Handicapped

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Final Report
May 1985

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U.S. Department of Health and Human Services
Administration on Aging

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NOTE: This report is a review of key issues and programs associated with transportation for elderly and handicapped persons. Part of its content includes policy and other recommendations based on the perceptions of the people making the statements, and the perceptions of the contractor developing the report. Recognizing that there may be alternative approaches to resolving transportation problems, these positions do not necessarily reflect those of the U.S. Government. As such, no endorsement of these recommendations is either expressed or implied by the U.S. Department of Transportation or the U.S. Department of Health and Human Services.

First UMTA and AoA National Conference on Transportation for the Elderly and Handicapped

Final Report
May 1985

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Distributed in Cooperation with
Technology Sharing Program
Office of the Secretary of Transportation
Washington, D.C. 20590

DOT-I-86-04

ACKNOWLEDGEMENTS

A large number of persons worked very hard to make the First AoA and UMTA National Conference on Transportation for the Elderly and Handicapped a great success. In particular, we would like to thank Floyd Godfrey of the Administration on Aging, the official Technical Officer on this contract, for helping establish the Interagency Working Agreement that led to this conference and for his constant support and guidance on this effort. He was assisted throughout the project by Gwen Bennett. We would also like to thank Dr. Lennie-Marie P. Tolliver, the Commissioner on Aging, for her support and active participation in the Conference. Michael J. Caravetta was the Technical Monitor from the Urban Mass Transportation Administration, and helped us through all phases of the project. Charles H. Graves, Director of UMTA's Office of Planning Assistance, helped implement the Interagency Agreement. Ralph L. Stanley, the UMTA Administrator, also personally addressed the Conference and we were grateful for his support. Sue Knapp, Linda Lee Ryden, and Hannah Worthington of Ecosometrics all worked extremely hard for the Conference and their efforts are greatly appreciated. Finally, we thank all those who attended the Conference and gave so fully of their time and ideas.

Jon E. Burkhardt
Project Director

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EXECUTIVE SUMMARY

OVERVIEW

In her opening remarks at the First AoA and UMTA National Conference on Transportation for the Elderly and Handicapped, Dr. Lennie-Marie Tolliver, Commissioner of the Administration on Aging (AoA), described transportation as the catalyst necessary to access services leading to life with dignity and purpose. She said that removing the barriers to access would be a major goal of AoA. Mr. Ralph Stanley, Administrator of the Urban Mass Transportation Administration (UMTA), said that while transit has been accepted as a necessity, it is still required to show excellence in service for the funding being spent. He called the monies spent for elderly and handicapped transportation services, including those provided to rural and small urban areas, as among the best spent of all of UMTA's funds. These ideas and many others were offered to the conference participants as inspiration and as challenges in the process of finding practical solutions to problems inhibiting the productivity and applicability of existing programs for transporting the elderly and handicapped.

The conferees responsed to these challenges with unusually intense efforts and produced detailed recommendations in seven areas identified as key problems hindering the full utilization of current programs and knowledge of methods for resolving the transportation problems of the elderly and handicapped. The Conference was thus quite successful in identifying and resolving key substantive issues.

The Conference was also quite successful from many other points of view. Although it was the first national conference to focus on AoA's and UMTA's approaches to addressing the transportation needs of the elderly and handicapped, the Conference attracted nearly 250 participants, which is a level of attendance not often obtained in similar conferences even after many annual meetings. The Conference was supported by the attendence of the chief officer of each of the sponsoring organizations -- Dr. Lennie-Marie P. Tolliver, the Commissioner the AoA, and Mr. Ralph Stanley, the Administrator of UMTA -- which was also a significant milestone in the history of such conferences. Over 98 percent of the attendees at the Conference agreed that the experience was sufficiently valuable to repeat soon, and a majority requested a second conference within one year's time. Finally, the Conference successfully commanded the time and attention of the attendees through its entire intense schedule, up to and including Saturday noon.

FORMAT AND CONTENT

The Conference featured seven general sessions and four workshop sessions between Wednesday evening and Saturday noon. The first five general sessions set the stage for the workshops, whose results were reported and discussed in the last two general sessions on Saturday morning. The strong attendance and enthusiasm of the participants even at the Saturday sessions was testimony to the importance of the issues to the participants and to their willingness to work hard at solutions.

The Conference scheduled the following general sessions:

- Federal Perspectives,
- Innovative State Programs (especially funding and coordination),
- Local Systems Using Multiple Funding Sources,
- Creative Arrangements for Providing Service,
- Contracting with For-Profit Providers,
- Review of Workshops on Problems and Solutions, and
- the Town Meeting Question and Answer Session.

These sessions were usually about 90 minutes in length.

Thursday's workshops focussed on identifying problems involved in utilizing programs that are currently available for transporting elderly and handicapped persons. The first workshops met in groups of individuals with like backgrounds: all Federal officials together, all state officials together, all system operators together, and so on. For the second workshop on Thursday, and for both of Friday's workshops, participants were placed in workshops that mixed the different kinds of participants so that perspectives of particular points of views could be shared with others of different backgrounds. The Friday workshops focussed on developing solutions to the problems identified in the Thursday groups. The results of the workshops were discussed in an informal session Friday night and were presented to all participants Saturday morning.

MAJOR SUBSTANTIVE PROBLEM AREAS

The workshop coordinators agreed that most of the concerns about programs currently available for transporting the elderly and handicapped could be reduced to the following seven key issue areas (not necessarily in the order of their importance):

1. More coordination of funding sources at state and local levels is needed: Multiple funding sources are unstable and hard to administer; policy interpretations often conflict, even within individual agencies.

2. The responsibility for transporting elderly and disabled persons should be focussed to define the roles of the numerous agencies involved: There is a lack of a focal point for funding or policy issues; no one agency has a comprehensive viewpoint. Individuals who are not "clients" of any particular agency are often served poorly, if at all.

3. Hands-on technical assistance for system operators should be a high priority item: intensive assistance is needed by local operators and state agencies on some very detailed issues.

4. There is a need for more information-sharing among all parties involved in elderly and handicapped transportation: A substantial amount of reinventing the wheel is occurring. It is difficult to obtain information on which problems have been tackled, how they have been resolved, and which solutions are generally applicable.

5. More funding is necessary; it is particularly important that states contribute their fair share of funds: Current funds are not adequate to provide quality services. Available Federal funds are not always supported by comparable state and local funding sources.

6. The current lack of information on and mechanisms for utilizing the private sector should be rectified: Some agencies are not aware of the best contracting procedures for use with private operators, and private operators need more sensitivity to and influence on the reporting requirements of human service agencies.

7. There is a pressing need for a final 504 regulation that will be acceptable to all parties: The uncertainty about the final 504 regulation (that is, the regulation from the Department of Transportation defining the responsibilities of agencies receiving DOT funding with respect to providing transportation services for the handicapped) has delayed vehicle purchases and the implementation of service.

SUGGESTED SOLUTIONS

The conferees invested much time in identifying solutions to problems. While some solutions were applicable to more than one problem, the most logical structure for identifying needed actions was to focus on each problem in turn.

- Coordination of Funding Sources: A Congressional mandate for the coordination of Federal transportation funds is needed; that would be followed by state mandates. The importance of involvement of Governors (as the respective chief executives) was stressed. The mandates would address the need for consensus on a variety of topics, including the definition of coordination and the specification of application and reporting requirements. By employing the concept of "public transportation delivery networks," it was thought that more coordination could be achieved among the public, semi-public, and private transportation providers that now seem categorically restricted to their own realms of operations. Finally, a collection and analysis of inventories done on the state level was proposed as one method for establishing a uniform methodology for describing in detail how transportation funds are actually spent.

- Assignment of Responsibilities: Leadership in transportation for the elderly and handicapped could be assumed by any one of several agencies as long as the interest was there, but the conferees also felt that responsibility should be assigned if no particular organization stepped forward. There was more consensus on the problem than on ultimate solutions. In the interim, it was proposed that 1) a committee be established to oversee the implementation of the recommentations contained in previous reports (such as Strategies to Improve Specialized Transportation), 2) one focal point for all transportation activities within the Department of Health and Human Services (HHS) be designated (with similarly visible key individuals in all of the HHS regional offices), and 3) transportation funds be more equitably distributed between urban and rural areas, particularly within programs administered by DOT.

- Technical Assistance: Proposals to implement technical assistance for system operators included computerized bulletin boards for use by transportation operators to share insights on detailed subjects, standardized and widely disseminated assistance on specific procedures, such as formats for vehicle specifications, a videotape library of best practices and procedures, and organizing paratransit operators into state associations and other associations for mutual assistance. The most useful technical assistance for local operators was seen as in-person, hands-on assistance from someone with similar problems. From the state perspective, regional conferences and training seminars, with all relevant parties included, were seen as a good technique. The UMTA program of Regional Facilitators under the Public Transportation Network was praised for the technical assistance it provides and criticized for its limited availability.

- Information Sharing and Communication: The development of a National Resource Bank, which would coordinate technical assistance, research, and demonstration grants, was proposed. A listing of currently available demonstration funds and projects, including assessments of factors contributing to or inhibiting successful implementation in particular scales, should be developed. A communications improvement initiative was proposed to focus on communications within particular agencies as much as on communications among agencies. Regional conferences were proposed as a means of encouraging people from the same agencies to talk to each other and for documenting and sharing local experiences with state and Federal officials. Another proposal was for Congressional hearings on the need for information sharing, highlighting the idea that a lack of communication is a substantial obstacle to the full utilization of existing programs.

- Funding: While additional funds are needed, the responsibility for funding was viewed as a shared responsibility, with Federal, state, and local financial support all required to provide adequate transportation for the elderly and handicapped. The need to ensure wise expenditures was also seen as important, and flexibility in the use of funds was thought by some to be even more important at this time than additional funds. A major problem is curtailed expenditures on transportation services by social service agencies, as public transportation providers accepted more financial responsibility for service, so that there has been no net gain in the overall service provided. In particular, UMTA's Section 18 program for rural and small urban areas specifically included a maintenance of effort provision for social service agencies which has been widely ignored as these agencies have reduced their funding. These maintenance of effort agreements need to be enforced.

- Involving the Private Sector: The conferees found that most distinctions between public and private providers made it more difficult to work together to resolve common problems and gain by sharing experiences with each other. Public and private operators should be treated in a similar fashion when bidding contracts for service, and that all potential contractors furnish similar information and cost details. A particular problem for private operators is the reporting burden imposed by some agencies. A close look should be taken at exactly what portions of the reporting process are so burdersome and costly to determine if the information being collected was really worth the expense.

- The Final 504 Regulation: The final 504 regulation will be a key building block in specialized transportation for a number of years. The conferees requested a regulation with substantial leeway to account for local conditions and capabilities; at the same time, they called on both the transit industry and the handicapped community to work within the context of the final regulation once it is issued, rather than trying to dismantle it in court as happened last time.

RECOMMENDATIONS TO AoA AND UMTA

From the substantive inputs of the conferees and from the enthusiastic and energetic efforts they gave to the Conference, it is easy to conclude that there is keen interest in transportation programs serving the elderly and handicapped, that improvement to these programs are possible, and that efforts for improvements will be supported by a wide range of individuals and organizations. AoA and UMTA should capitalize on the interest and ideas generated in Orlando by swiftly implementing some key improvements:

1. The joint efforts of AoA and UMTA were widely acclaimed. AoA and UMTA should conspicuously reaffirm their commitment to working together, either by signing a new agreement or by implementing other provisions of the current agreement (and broadly publicizing this implementation).

2. AoA and UMTA should create and publicize a commitment to continued interaction and interchange among all levels associated with transportation for the elderly and handicapped by announcing, in 1985, plans for efforts similar to the Orlando Conference. A series of regional conferences that are unified by common themes and analyzed as a whole is the most attractive alternative for 1985, with a national conference similar to that held in Orlando to be convened in 1986.

3. AoA and UMTA should assist local transportation providers by establishing a focal point for technical assistance efforts. The first task of the technical assistance would be to analyze currently available group materials and to publicize those with the greatest utility, since a primary complaint of the conferees was that they were not informed about all the materials now available. The second technical assistance task would be to prepare state-of-the-art assessments in specific subject areas such as inventories of transportation resources (and procedures for developing these inventories), lists of demonstrations and results, and lists of practices (including funding, contracting, vehicle acquisition and replacement, and others) in various states and localities. The third task would be the provision of direct hands-on assistance to local providers by experts in specific subject areas.

4. AoA and UMTA should form the nucleus of an Interagency Federal Task Force on Transportation. It is particularly important that all major offices within HHS be represented on this task force. This task force, supported by an adequate staff, should work to provide a unified approach to transporting the elderly and handicapped by publicizing common objectives, simplifying application and reporting formats, and serving as a focal point for information and policy-making. One of the first objectives of this task force should be the issuance of a policy directive to the effect that, to the extent possible, Federally-funded transportation programs are to be made available to all Americans, all individuals or agencies requiring transportation services who will bear a fair share of the costs, whether or not an individual is a "client" of any particular agency or program.

5. AoA and UMTA should promote the interaction of persons at various levels of government and private industry by maintaining directories of individuals involved, providing information on new technologies such as computerized bulletin boards, and supporting the efforts of state and national associations of operators.

6. AoA and UMTA should promote the maximum flexibility in programs serving the elderly and handicapped to account for local and regional variations, and then should publicize those projects and programs that are most successful so that others can emulate their successes.

The keynote speakers at the First AoA and UMTA National Conference on Transportation for the Elderly and Handicapped challenged the participants to find ways to work for improvements within existing programs and existing funding levels. The participants responded by intense efforts that produced detailed recommendations. The challenge has now been passed back to AoA and UMTA: specific suggestions have been offered within the established guidelines, and implementable improvements have been suggested. AoA and UMTA should move to implement these recommendations as soon as possible to maintain the momentum, enthusiasm, and spirit of cooperation generated at the Conference in Orlando.

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CONFERENCE HIGHLIGHTS

The problem with identifying the highlights of the First AoA and UMTA Conference on Transportation for the Elderly and Handicapped is that there were so many that any list is not likely to do justice to them all. First, the process of interaction among Federal, state, and local officials, among transportation and social services professionals, and among persons from widely different backgrounds and locales appeared to be highly beneficial to all. Second, there were many outstanding presentations during the Conference; the keynote speeches are reviewed in this chapter and the formal conference papers are presented in Appendix F. Third, the Conference provided increased clarification and understanding of a large variety of issues. Many of these instances took place in small group interactions and will not be discussed here; however, several major issues were deliberated by the group as a whole and should be reviewed. Finally, the conferees devoted intensive efforts to developing recommendations for resolving numerous problems. These recommendations are so important that an entire Chapter (Chapter 3) is devoted to them; the other highlights are discussed in this chapter.

THE CONFERENCE PROCESS

Sponsorship

The first unusual feature of this Conference was its joint sponsorship by the Administration on Aging and the Urban Mass Transportation Administration.

As a direct result of the Working Agreement signed by the two agencies in the summer of 1983, both agencies worked closely together in planning, developing, and funding the Conference. This close cooperation between Federal agencies was unusual for a program of this nature; it was also extremely appropriate because any serious attempt to resolve the transportation needs of the elderly and handicapped will require the resources and expertise of AoA, UTMA, and other agencies as well. So this degree of cooperation at the Federal level has to be heartening to persons at the local level who are trying to create service programs using multiple funding sources. By their joint efforts at the Federal level, AoA and UMTA have sent an unmistakable message to their counterparts at regional, state, and local levels who administer the Federal programs: that message is clearly "We'll serve more needs if we work together."

Besides the official sponsorship of AoA and UMTA, the Conference also benefitted from other organizations that, while not officially serving as sponsors, assisted in the planning of the conference. These organizations included:

- the U.S. Department of Transportation, Office of the Secretary,
- the U.S. Department of Health and Human Services, Region IV Office
- the Wisconsin Department of Transportation
- the American Association of State Highway and Transportation Officials,
- the Architectual and Transportation Barriers Compliance Board,
- the International Taxicab Association,
- the National Association of State Units on Aging,
- the National Association for Transportation Alternatives,
- Rural America,
- and two organizations directly providing services at the local level: JAUNT of Charlottesville, Virginia and the Philadelphia Corporation on Aging.

A complete list of the members of the Conference Advisory Committee can be found in Appendix A.

The Conference itself promoted the concept of coordination through its scheduling and logistics. When it was learned that the First AoA and UMTA Conference on Transportation for the Elderly and Handicapped was scheduled for approximately the same time as the Third International Conference on Mobility and Transport for Elderly and Handicapped Persons, it was decided to coordinate the two efforts as closely as possible to avoid duplication and conflict. Therefore, the First AoA and UMTA conference agreed to use the conference facility

already chosen by the planners of the Third International Conference, and the AoA/UMTA Conference was scheduled so that it ended just before the International Conference began. While some persons had been concerned that persons attending both conferences would need to be away from their offices from one Wednesday until the following Tuesday, in fact 25 percent of those attending the AoA/UMTA Conference did register for and participate in the Third International Conference. Without the time and effort put into joint scheduling and location, it is likely that joint registrations would have been very small indeed.

Participation

This was the first conference on transportation for the elderly and handicapped ever to be honored by the joint and simultaneous presence of the Commissioner on Aging and the Administrator of UMTA. Dr. Lennie-Marie P. Tolliver, the Commissioner on Aging, attended the entire conference and strongly supported efforts to resolve the transportation needs of the elderly and handicapped in both her formal and informal remarks. While Mr. Ralph L. Stanley, UMTA's Administrator, was not able to attend the entire Conference, his remarks at the Conference luncheon on October 25 supported and encouraged the efforts of all involved in transporting the elderly and handicapped. The Conference provided an opportunity for Dr. Tolliver and Mr. Stanley to informally discuss some of the steps they could mutually take to resolve outstanding issues. In addition to the attendance of their Chief Executives, AoA and UMTA also supported and assisted the Conference through the attendance and participation of various office directors, special assistants, Federal staff members, and regional personnel. Thus, the key Federal agencies were actively involved and consistently available for consultation.

The Conference had 243 official registrants and speakers, representing Federal, state, and local officials, planners, transportation providers, vendors, researchers, and other interested parties. The attendees represented 41 of the 50 states plus the District of Columbia plus one foreign country. A complete list of those registered for the Conference is shown in Appendix B.

Another significant participant was DOT's Office of Technology and Planning Assistance. With the gracious assistance of the Deputy Director, Norman Paulhus, a Resource Center was established in one of the hotel rooms to serve as a source for distributing hundreds of the best and latest technical reports

on transportation services for the elderly and handicapped. In fact, this room became an important focal point for informal idea exchange and networking, serving many times as the nerve center of the Conference's activities.

Program

The Conference began Wednesday evening and ended Saturday noon. In between, the schedule was full and intense. There were seven 90-minute General Sessions, including:

- Federal Perspectives,
- Innovative State Programs (especially funding and coordination),
- Local Systems Using Multiple Funding Sources,
- Creative Arrangements for Providing Service,
- Contracting with For-Profit Providers,
- Review of Workshops on Problems and Solutions, and
- the Town Meeting Question and Answer Session.

The focus of the program was really the workshop sessions. Thursday's workshops focussed on identifying problems involved in utilizing programs that are currently available for transporting elderly and handicapped persons. The first workshops met in groups of individuals with like backgrounds: all Federal officials together, all state officials together, all system operators together, and so on. For the second workshop on Thursday, and for both of Friday's workshops, participants were placed in workshops that mixed the different kinds of participants so that perspectives of particular points of views could be shared with others of different backgrounds. The Friday workshops focussed on developing solutions to the problems identified in the Thursday groups. The results of the workshops were discussed in an informal session Friday night and were presented to all participants Saturday morning by the Workshop Coordinators, who are listed in Appendix C. The Conference was billed as a working rather than just as a listening experience, and the attendees responsed with intensive efforts that produced the substantive recommendations contained in Chapter 3.

The Conference schedule is shown in Appendix D.

REMARKS OF KEY SPEAKERS

Keynote addresses were given Wednesday evening by Dr. Lennie-Marie P. Tolliver, Commissioner on Aging of AoA, and Mr. Kenneth Butler, Associate Administrator for Budget and Policy of UMTA, who spoke in place of Administrator Stanley. Mr. Ralph L. Stanley, UMTA's Administrator, addressed the Conference Thursday noon. Other keynote speakers Wednesday evening included Ms. Nell Ryan, Special Assistant to the Commissioner on Aging of AoA and Mr. Charles H. Graves, Director of UMTA's Office of Planning Assistance. The Honorable Paula Hawkins, United States Senator from Florida, addressed the Conference Friday evening. Brief summaries of their remarks follow.

Dr. Lennie-Marie P. Tolliver

Dr. Tolliver opened her remarks by commending the conferees for spending their time and energy in examining and improving transportation services for the elderly and handicapped. She called for a combined and concerted effort to improve and increase transportation services in a creative and cost-effective manner.

Dr. Tolliver spoke of the substantial growth anticipated in the number of elderly persons: while one in every nine persons is now 50 years of age or older, between the years 2025 and 2030 that proportion will be one in four. The "very old" -- those persons 85 years and older -- is the fastest growing segment of the population: they numbered 2.2 million persons in 1980 and will total 16 million by 2050. She noted that while there are over 150 programs from all Federal departments that serve the needs of the elderly, there never will be enough Federal dollars to serve all the elderly. She described how AoA has helped to implement a substantial service infrastructure, particularly through Title III, the Area Planning and Social Services Program, and Title IV, Research, of the Older Americans Act of 1965.

The Commissioner reported that AoA and UMTA have agreed to play a more active role in obtaining and disseminating information about practical approaches to cost-effective transportation systems. She stressed that AoA is committed to removing the barriers to access in our society, noting that policies and plans for transportation must address the changing needs of an aging society.

Mr. Ralph L. Stanley

Mr. Stanley described transit as "a necessity that cannot be taken for granted," noting that the need for bipartisan program support is greater in this area than in most others. He announced appropriations for FY85 that were essentially the same as for FY84 -- $26 million for Section 16(b)(2) (grants and loans to private nonprofit corporations and associations for providing transportation services meeting the special needs of elderly and handicapped persons) and $71.8 million for Section 18 (Formula Grant Program for Areas Other Than Urbanized) of the UMT Act -- but noted that private citizens and businesses will have to become more involved in the funding and operations of transit services if these services are to grow and prosper.

The Administrator reported that he was impressed with the variety of effective approaches at the local level to providing transportation services to the elderly ahd handicapped. He called UMTA's contributions to these efforts "among the best spent of UMTA's $4 billion."

Mr. Stanley challenged the participants to make sure that program administrators are made aware of programs that work well. He noted an increased concern about how well Federal funds are spent and predicted that this would become a key element in the overall effort to control Federal spending.

UMTA will assist in making equal accessibility for the elderly and handicapped more of a reality, Mr. Stanley said. UMTA will continue its current grant programs, continue working towards the objectives of the Surface Transportation Act of 1978 (especially those involving rural and elderly Americans), and encourage joint research activities between AoA and UMTA to address their joint responsibility for addressing the transportation needs of the elderly and handicapped.

Mr. Kenneth W. Butler

Mr. Butler called this Conference a direct response to the importance of the transportation needs of the elderly and handicapped by DOT and HHS, and reported that "the Administration maintains a sincere interest in the problems of the elderly and handicapped and their efforts to be self-sufficient, contributing members of society." He called Section 16(b)(2) and Section 18 the "right type of Federal programs" because they are administered by states

and can be tailored to specific local needs, without a particular solution being dictated by a Federal agency. He called on Federal, state, and local agencies, as well as private providers, to cooperate in planning and funding transportation services for the elderly, noting that multi-million dollar budget surpluses were predicted for several states and localities for the coming year.

Ms. Nell Ryan

Ms. Ryan described AoA's legislative programs to the conferees. Title IIIB of the Older Americans Act of 1965, as amended, provides for supportive services to the elderly; Title IIIC provides for congregate and home-delivered meals. In FY84, Area Agencies on Aging used $269 million for supportive services under the Title IIIB program and $279 million under Title IIIC. She reported that there are currently between 3,500 and 4,200 transportation projects for the elderly funded under Title IIIB of the Older Americans Act, and that Area Agencies on Aging are coordinating over $800 million worth of transportation services each year. She described AoA's research efforts (in insurance and other areas) and tne 1984 amendments to the Older Americans Act.

Mr. Charles H. Graves

Mr. Graves provided a detailed description of activities within his Office of Planning Assistance since the administration of the Section 18 program was transferred from the Federal Highway Administration to UMTA in October, 1985. Reviewing UMTA's performance on administering the Section 18 program, Mr. Graves noted that their performance had fallen far short of their objectives in terms of speedy grant approvals, but that bills were being paid extremely fast, and that their performance with respect to opening communications channels, devoting adequate staff resources, and providing regulations giving states the maximum authority and flexibility were all "pretty good." In FY84, UMTA obligated over $115 million to 914 operators under the Section 18 program, which was more than ever before. Under the Section 16(b)(2) program, $32 million were obligated to 858 operators, who used these funds to purchase over 1,300 vans. These performances cut the backlog of unobligated funds in these programs in half.

Mr. Graves described the Section 16(b)(2) and Section 18 programs as small but excellent, with a well-defined and strong sense of social purpose. He noted the fundamental benefits of providing transportation services to persons who have few, if any, of their own resources for mobility.

The Honorable Paula Hawkins

Senator Hawkins described in detail the aging of Florida's population. She suggested that several of her own experiences illuminated the needs of the elderly and handicapped. First was a general lack of public awareness of the numbers of elderly and handicapped persons who are isolated from available social activities. Second was the realization that even the upper-income elderly may need social services. She developed this theme using the example of a person from a large northern metropolitan area who, upon retiring to Florida, must suddenly adjust to fewer public transportation services than were formerly available to them. Senator Hawkins described the 16(b)(2) program to the conferees and stressed its importance.

SIGNIFICANT CONSIDERATIONS

In the public addresses and workshop deliberations, a number of ideas arose which deserve mention. In some cases, these ideas were further debated in Saturday morning's Town Meeting, which was so ably directed by Bud Giangrande, Chief of the Technology Sharing Office of DOT's Transportation Systems Center. Some of these ideas were truly new; others were newly rediscovered; others lacked novelty but were again raised by the conferees because they were simply being ignored. Those ideas that could be expressed as specific recommendations to AoA and UMTA are discussed in detail in the following chapter; several others are listed here.

The Interests of Public and Private Operators are Converging

While some speakers recounted the difficulties in finding mutually satisfying roles for both public and private operators transporting the elderly and handicapped, there appeared to be a growing recognition of areas for joint activities among those attending the Conference. This requires a careful consideration of the needs and constraints of each kind of operation, but it also

requires the mutual recognition that any successful operator will be dealing with issues (like productivity, driver training, safety, insurance, public relations, etc., etc.) that both public and private operators must resolve to be successful. Greater understanding and greater cooperation will more cost-effectively address the transportation needs of the elderly and handicapped.

Communication Channels Should be Broadened

In particular, it is important for local system operators to make sure that their Federal and state legislators are aware of the successes of their programs and of their needs for program changes, when necessary. It is important for Federal and state officials to make regularly scheduled visits to projects funded by their programs to understand day-to-day operational issues and needs -- for example, the effect of budget cuts on services provided to the elderly and handicapped. It is important for departments at the Federal and state levels to begin to communicate with each other about opportunities to coordinate and simplify the procedures that local operators must follow to be able to deliver services. While these are far from new concepts, their implementation could certainly improve.

Outstanding Performance Should be Rewarded

Several instances were discussed in which improvements to cost-effectiveness resulted in lower budgets for service. For many operators, this could be seen as a distinct disincentive to improve cost performance. Several states have begun to reward cost-effectiveness improvements with bonus programs of one sort or another, but the majority of states are not even sure how to measure performance. Administrative procedures, particularly those that relate to budget changes, need to be thoroughly reviewed to provide real incentives for service improvements. Particularly in an era of serious budgetary constraints, we need to be certain that appropriate behavior is appropriately rewarded.

3

RECOMMENDATIONS

Enthusiasm and optimism were the predominant attitudes of the First AoA and UMTA Conference on Transportation for the Elderly and Handicapped. Despite the possibility of reduced Federal funding for elderly and handicapped transportation, most of the attendees felt that significant improvements could be achieved, and they devoted substantial time and effort to developing recommendations to enhance the effectiveness and efficiency of current activities and investments in the field.

The key to better utilization of our resources is the full and active participation of parties. The Federal government must assume a full and active role, as should state and local governments. The best local transportation systems will most likely involve both private non-profit and private for profit organizations working together with government agencies. Similarly, the best local systems will actively seek inputs and guidance from the consumers of the transportation services. With all of these groups and organizations involved, it is likely that better services can be provided for lower costs. Without this kind of cooperation and commitment, transportation for the elderly and handicapped cannot be provided as cost-effectively.

OVERALL RECOMMENDATIONS

While it was clear that the conferees believed that responsibility for transporting the elderly and handicapped was shared by many governmental

and private agencies, it was also clear that leadership was required, and that this leadership should be exercised by AoA and UMTA.

It was recommended that AoA and UMTA should:

- continue their joint efforts to improve transportation services to elderly and handicapped persons,
- establish a formal schedule for additional conferences, including regional and national conferences,
- establish a focal point for technical assistance efforts,
- serve as the nucleus of an Interagency Federal Task Force on Transportation that would examine and coordinate Federal transportation activities for elderly, handicapped, and other transportation disadvantaged persons,
- promote the interaction of persons at all levels of government and private industry to work towards mutual solutions to common problems, and
- promote the maximum flexibility in the application of Federal programs within localities.

The implementation of these recommendations should become a major priority for AoA and UMTA in the immediate future.

Continue Joint AoA/UMTA Efforts

The most recent joint working agreement, the one responsible for establishing the mechanism for this conference, was signed in June of 1983. Since that time, a number of issues and priorities have changed significantly. Therefore, a new Working Agreement should be executed now to conspicuously reconfirm AoA's and UMTA's commitments to working together, to provide a structure and process for addressing newly emerging issues concerning transportation for the elderly and handicapped, and to provide a focal point for leadership in addressing these issues. The Working Agreement should include commitments for funding future conferences and for funding technical assistance efforts.

Schedule Next Conferences

AoA and UMTA should establish, through the Working Agreement and other mechanisms, a specific schedule of conferences and meetings to promote the interaction of persons at all levels in order to more cost-effectively provide

transportation services for the elderly and handicapped. While the conferees at the First National Conference in Orlando recommended national conferences every year, it seems more feasible to establish a permanent schedule of national conferences every two years, with the next national conference to be held in 1986. During the years when national conferences are not being held, regional conferences should be sponsored by AoA and UMTA to keep abreast of current developments and to encourage those agencies without sufficient resources to participate in national conferences to contribute to more local meetings. The local and regional conferences should be planned and analyzed as a whole, so that their discussions touch both common themes and issues unique to that region. The combined analysis of the regional conferences should lay the ground work for planning the national conference the following year by specifying which topics might be reported on as resolved and which topics require further work and investigation.

Establish a Technical Assistance Center

Local transportation providers need to be able to request and receive hands-on technical assistance on a variety of issues ranging from initial planning through day to day operational problems. The Technical Assistance Center should maintain copies of currently-available reports on research and best practices, continually update data on funding sources (including funds available, plus application, eligibility, and reporting requirements), regularly distribute summaries of these materials to agencies on a mailing list, provide highly-skilled staff to answer detailed questions by telephone or to make in-person site visits when necessary to resolve particularly difficult issues, maintain a list of experts available for consultation on very specific matters, and provide contacts with potential funding sources. Information sharing would be a key feature of the Technical Assistance Center, so that persons with like problems could benefit from the experiences of others in resolving their own difficulties. This should substantially improve service provision practices throughout the U.S. and make noticeable improvements in the cost-effectiveness of transportation services to the elderly and handicapped. The Technical Assistance Center should conduct original research efforts on best practices in a variety of fields; one that was mentioned often by the attendees of the Orlando Conference was the need for inventories of existing resources plus instructions

on how localities should develop their own inventories. Another key effort would be lists of demonstrations and results; a third could be the organization of mini-conferences around very specific subject areas, such as safety, vehicle specifications, or insurance, to name but a few of the potential topics.

The Technical Assistance Center could be organized in a variety of ways. There are several models in current UMTA-sponsored resource centers that could be adapted. The Center needs to be started with Federal funding, but could be partially supported by user fees or subscriptions (dues) once operations are under way.

Establish an Interagency Federal Task Force on Transportation

Many states have established interagency task forces on transportation, usually for the purposes of more accurately enumerating resources and then more cost-effectively managing the delivery of services. These rationales have much to offer at the Federal level, too, because at the Federal level

- there is a lack of knowledge about the activities of various departments,
- there is a lack of knowledge about overall resources available and resources utilized for transporting the elderly and handicapped,
- conflicting regulations are promulgated for the implementation of programs at the local level, including conflicts in

  -- planning and budgeting time tables,
  -- service regulations,
  -- eligibility regulations, and
  -- reporting requirements.

UMTA and AoA obviously deserve to be major actors in any Federal Interagency Task Force on Transportation. Just as obviously, they must not be the only actors involved if the task force is to succeed. In particular, other agencies within HHS must be full and active participants, as should other Departments (for example, the Department of Agriculture).

The task force should consider the following tasks as key elements of its work plan:

- produce an interagency policy statement, signed by the respective agency heads, actively encouraging the sharing of resources and ideas wherever possible in the delivery of services,

- follow-up this policy statement with amendments to existing regulations wherever necessary in order to implement this policy,
- simplify, streamline, and unify reporting requirements,
- as much as possible, move towards multi-year program funding,
- publicly identify one individual within each agency with the responsibility and authority to act on transportation issues for that agency, at the Federal level (and, hopefully, also designate individuals from each agency within each Federal region who could address transportation concerns), and
- establish a task force of system operators that would make specific recommendations to the Interagency Task Force about which specific regulations should be changed and how.

Promote Public/Private Cooperation in Resolving Issues

AoA and UMTA should promote the interaction of persons at all levels of government and private industry to work towards mutual solutions to common problems. One way to do this would be to establish Advisory Groups to the Federal Interagency Task Force. There could be a private industry advisory group, and there could also be state government, local government, and private non-profit provider advisory groups. These groups would be charged with finding ways the group it represents could improve its usefulness to the other groups, as well as specifying in detail what changes the other groups could make to improve the overall process of providing transportation for elderly and handicapped persons more effective.

At the Conference, it was readily apparent that greatest progress was being made when public and private agencies pooled their skills. It was clear that no particular type of provider had all the answers or all the skills, and that everyone could learn from a mutual sharing of successes and problems.

Promote Maximum Flexibility in Service Programs

Particularly with regard to Federal programs, the Conference attendees felt that increases in flexibility in the administration of these programs would increase the cost effectiveness of transportation programs for the elderly and handicapped. Flexibility was specifically requested in the following areas:

- expenditure categories: Many attendees favored some form of block grants for transportation which would eliminate the current categorical distinctions on capital and operating costs. While maintaining accountability for the use of funds, this change would streamline accounting procedures and would allow local project managers to focus on maximizing productivity and cost-effectiveness in the delivery of services. The change would probably reduce the over-capitalization of some projects and lead to projects more closely tailored to local needs.

- eligibility requirements: The attendees felt that Federal agencies should promulgate policy statements encouraging the sharing of vehicles and other resources wherever possible. The importance of restricting funds designed for one specific target group to members of that target group was recognized, but it was felt that this could readily be accomplished through fee-for-service arrangements for system riders not certified as members of the primary client group. The proposed changes could lead to more productive vehicle utilization, and thus greater cost-effectiveness on a per trip basis than is now possible.

- service providers: the participants felt that the kinds of organizations authorized to receive and spend transportation funds for the elderly and handicapped should be broadened in order to enable more localities to utilize existing providers in their own communities. This broadening of eligibility needs to be accompanied by more precise performance and cost standards to enable localities to know what to expect and to require from providers. More competitive bidding for providing services would probably transpire, but closer control of the bidding process would be required. In particular, it would be necessary to ensure that the cost calculations of all competing providers were constructed in the same fashion so as to be directly comparable.

The conferees felt that AoA and UMTA could send a very positive message to those working at the local level by implementing these recommendations. The speed at which these recommendations are implemented (or the lack there of) will also provide a very strong message to those persons responsible for providing services.

RECOMMENDATIONS RELATED TO SPECIFIC CONCERNS

Problem Areas

The workshop coordinators agreed that most of the concerns about programs currently available for transporting the elderly and handicapped could be reduced to the following seven key issue areas (not necessarily in the order of their importance):

1. More coordination of funding sources at state and local levels is needed.

2. The responsibility for transporting elderly and disabled persons should be focussed to define the roles of the numerous agencies involved.

3. Hands-on technical assistance for system operators should be a high priority item.

4. There is a need for more information sharing among all parties involved in elderly and handicapped transportation.

5. More funding is necessary; it is particularly important that states contribute their fair share of funds.

6. The current lack of information on and mechanisms for utilizing the private sector should be rectified.

7. There is a pressing need for a final 504 regulation that will be acceptable to all parties.

Detailed comments for these problem areas included the following observations.

- Coordination of funding sources: Multiple funding sources are unstable and hard to administer. A multiplicity of sources may help maximize total funding, but a unification and simplification of procedures is needed. Policy interpretations often conflict, even within agencies, so coordination of objectives and policies needs to occur within as well as among agencies.

- Responsibility for E&H transportation: There is a lack of a focal point for funding or policy issues; no one agency has a comprehensive viewpoint. Individuals who are not "clients" of any particular agency are often served poorly, if at all.

- Technical assistance: Short-term intensive assistance is needed by local operators and state agencies on some very detailed issues, such as vehicle specifications, maintenance procedures, and purchase of service agreements.

- Information-sharing and communication: A substantial amount of re-inventing the wheel is occurring, which wastes precious time and money. It is difficult to obtain information on which problems have been tackled, how they have been resolved, and which solutions are generally applicable. In particular, there's a lack of communication between public and private operators who provide essentially the same services.

- Additional funding: Current funds are not adequate to provide quality services. The problem is often that available Federal funds are not supported by comparable state and local funding sources. State and local governments need to contribute their fair share to solve the transportation problems of the elderly and handicapped.

- Use of the private sector: Prior conflicts between public and private operators, which seem to be giving way to more cooperation, have delayed services and increased costs. Some social service agencies are not aware of the best contracting procedures for use with private operators, and private operators need more sensitivity to and influence on the reporting requirements of human service agencies.

- The Final 504 regulation: The uncertainty concerning the requirements of DOT's soon-to-be released final 504 regulation governing transportation services for the handicapped has delayed vehicle purchases and the implementation of service. A flexible rule is needed that addresses the concerns of botn the handicapped community and the transit industry.

Suggested Solutions to Specific Problems

The conferees invested much time in identifying solutions to problems as well as in identifying the problems themselves. While some solutions were applicable to more than one problem, the most logical structure for identifying needed actions was to focus on each problem in turn.

Coordination of Funding Sources

The conferees called for a Congressional mandate for the coordination of Federal transportation funds that would be followed by state mandates. The importance of involvement of Governors (as the respective chief executives) was stressed. The mandates would address the need for consensus on a variety of topics, including the definition of coordination and the specification of application and reporting requirements. One suggestion was to withnold Federal funds from those states or agencies that refused to work for increases in the level of coordination.

Employing the concept of "public transportation delivery networks" was seen as a means of coordinating and managing diverse opportunities at the local level. By treating transportation as a generic service, it was thought that more coordination could be achieved among the public, semi-public, and private transportation providers that now seem categorically restricted to their own realms of operations. Use of this public delivery network concept might more fully exploit the economic development potential of transportation facilities.

Finally, the need for a comprehensive inventory and tracking system was discussed. A recurring theme was that "we can't coordinate what we don't know about." A collection and analysis of inventories done on the state level was proposed as one method for establishing a uniform methodology for describing in detail how transportation funds are actually spent.

Assignment of Responsibilities

On one hand, the Conference expressed the feeling that leadership in transportation for the elderly and handicapped could be assumed by any one of several agencies as long as the interest was there. On the other hand, the conferees also felt that responsibility should be assigned if no particular organization stepped forward. A majority felt that some part of the U.S. DOT would be a logical focal point, but others doubted DOT's responsiveness to the needs of particular client groups. Another possible solution discussed was that of a cabinet level position for coordination. All in all, there was more consensus on the problem than on ultimate solutions.

In the interim, a number of achievable first steps were proposed. First, the establishment of a committee to oversee the implementation of the recommentations contained in the report Strategies to Improve Specialized Transportation produced by the American Public Welfare Association. Second, the creation of one focal point for all transportation activities within HHS (with similarly visible key individuals in all of the HHS regional offices) was again discussed. Finally, a movement towards the more equitable distribution of transportation funds between urban and rural areas, particularly within programs administered by DOT, was discussed.

Other comments discussed include

- MPOs should be the lead agencies at the local level
- a confusion of responsibilities at the state level still exists; states need to work directly with providers at the local level so that everyone is getting the same message
- "available" information is often not widely available; good contacts are required to ensure consistent policy interpretations among different regions.

Technical Assistance

A computerized bulletin board for use by transportation operators to share insights on detailed subjects may have been one of the most technologically advanced suggestions offered, but is still imminently achievable. It focuses on what operators can best do for themselves, which is to establish networks of others with similar interests who can assist each other. Technical Assistance on specific procedures, such as formats for vehicle specifications, was also requested. A thought was that much of this kind of material could be standardized and then widely disseminated; which would assist vendors as well as operators. A videotape library of best practices and procedures was another suggestion. Organizing paratransit operators into state associations and other associations for mutual assistance was also proposed.

Local operators and planners responded that the most useful technical assistance for them was in-person, hands-on assistance from someone with similar problems; i.e., networking. State associations were seen as a key in this process, as long as ways are found to promote more networking between state associations. From the state perspective, regional conferences and training seminars, with all relevant parties included, were seen as a good technique. State representatives also suggested working directly with those involved from a business standpoint: the for-profit operators and the vendors do have a wealth of knowledge to impact. The UMTA program of Regional Facilitators under the Public Transportation Network was praised for the technical assistance it provides and criticized for its limited availability.

Information Sharing and Communication

Two strategies for promoting information sharing were addressed at length. The first was the development of a National Resource Bank which would coordinate technical assistance, research, and demonstration grants. The information sharing proposed through the Bank would need to be a two-way process, with local operators and state program administrators envisioned as key actors in the transmission of information as well as its receipt. The second strategy could be built into the tasks of the Bank, but the creation of the Bank is not necessary to accomplish the second strategy, which is to compile a listing of currently available demonstration funds and projects, including assessments of factors contributing to or inhibiting successful implementation in particular scales.

Turning to the subject of communications, the conferees proposed that a Communication Improvement Initiative be developed, and that it focus as much of its energies on communications within particular agencies as on communications among agencies. Regional conferences were proposed as a means of encouraging people from the same agencies to talk to each other. A formal method for documenting and sharing local experiences with state and Federal officials was said to be necessary, since communications in this direction are often slighted. Another proposal was for Congressional hearings on the need for information sharing, highlighting the idea that a lack of communication is a substantial obstacle to the full utilization of existing programs.

Funding

Additional funds were seen as required, but the conferees distinctly viewed the responsibility for funding as a share responsibility, with Federal, state, and local financial support all required to provide adequate transportation for the elderly and handicapped. But some other funding issues also arose: the need to ensure wise expenditures was also seen as important, and flexibility in the use of funds was thought by some to be even more important at this time than additional funds.

The conferees were concerned about a pattern of curtailed expenditures on transportation services by social service agencies as public transportation providers accepted more financial responsibility for service, so that there has been no net gain in the overall service provided. In particular, UMTA's Section 18 program for rural and small urban areas specifically included a maintenance of effort provision for social service agencies which has been widely ignored as these agencies have reduced their funding. The idea of "transportation impact statements" for programs involved in locating public facilities or in changing current transportation was suggested. Overall, the conferees called for a realistic and honest sharing of transportation costs among all groups involved.

Involving the Private Sector

The conferees called for an end to the focus on distinctions between public and private providers so that it would be easier to work together to resolve common problems. It was pointed out that there are good providers in both the

public and private realms, and that they could gain a lot by sharing experiences with each other. The suggestion was made that public and private operators be treated in a similar fashion when bidding contracts for service, and that all potential contractors furnish similar information and cost details.

A particular problem for private operators, especially the small ones, is the reporting burden imposed by some agencies (and this can be a burden for public operators as well). It was suggested that a close look be taken at exactly what portions of the reporting process are so burdersome and costly to determine if the information being collected was really worth the expense.

The Final 504 Regulation

The final regulation from DOT on transportation services to the handicapped was viewed as a key building block in specialized transportation for a number of years. The conferees requested a regulation with substantial leeway to account for local conditions and capabilities; at the same time, they called on both the transit industry and the handicapped community to work within the context of the final regulation once it is issued, rather than trying to dismantle it in court as happened last time. An "interim period of compromise" was seen as necessary to ensure a period of stability that could be used for implementing workable transportation solutions. It was noted that, in the absence of Federal actions, states might enact laws that could have considerably more severe consequences than the eventual Federal regulation; the example of recent legislation in New York State was discussed.

SUMMARY

The Conference was highly successful in detailing problems now encountered in providing transportation services to the elderly and handicapped and in recommending specific solutions to those problems. There was a strong focus on realistic, practical, short-term, low-cost solutions; no new major funding initiatives were called for, no major legislative changes were proposed, and no massive organizational shifts were requested.

The Conference generated the ideas necessary for significant improvements, and provided a consensus for their implementation. What's needed now is the leadership to convert these ideas into reality. AoA and UMTA need to exercise their leadership to make these improvements happen.

4

CONFERENCE EVALUATION

OVERVIEW

Almost one-third of those attending the First AoA/UMTA Conference returned completed evaluation forms, which is approximately double the response rate for similar conferences. Nearly all aspects of the Conference were highly rated, and the attendees overwhelmingly supported future conferences on transportation for the elderly and handicapped. A summary of the evaluation forms is attached as Appendix E.

The participants found the general sessions and workshops useful and informative. Both the general sessions and the workshops appear to have improved over time, as the participants gave the highest ratings to the sessions and workshops at the end of the Conference. The Conference facilities generally earned very good ratings, but there were several specific facility problems that need attention in future conferences.

The Conference focus and format were highly rated by participants. The use of workshops that tied directly into the Conference theme appears to have substantially contributed to the success of the Conference. A majority of the attendees thought that a similar conference should be held again the following year, but a number of creative alternatives to this idea were also proposed.

Several participants criticized the intensity of the program's schedule, which was recognized early in the planning process but could not be changed due

to other commitments of the hotel. Participants asked for more free time in the schedule. According to the evaluation sheets, about one-third of the participants made their own free time slot in the schedule at the time of the late afternoon Friday workshop, thus proving that the time will be taken anyway even if not officially provided.

EVALUATION OF SESSIONS AND TOPICS

The participants generally found the sessions useful and informative. The highest ratings were given to the Saturday morning review of problem and solution workshops, the Saturday morning town meeting, and the session on creative arrangements for providing services on Friday morning. The Thursday sessions on local systems using multiple funding sources and innovative state programs were next, followed by contracting with for-profit providers and, finally, the opening session on Wednesday evening. Regarding the general sessions, participants felt that more time should have been available for questioning the major speakers. They also felt that the presentations concerning Federal programs were too basic and did not provide sufficient guidance on future policy directions or sufficient details on alternative plans for dealing with current administrative problems. Other suggestions included adding van pool and school bus operators to the presentation involving private operators, as well as ensuring that the issues and concerns of rural and small urban operators be addressed.

The workshops were also highly rated, with the Friday workshops on solutions receiving higher ratings than Thursday's workshops on problems. The participants offered many comments on the workshops, a fair number of which were directly contradictory ("group process was very good -- instructions were very useful" vs. "not enough direction on how participants should participate"). Some of the suggestions included a "better" grouping of participants (although it's not clear exactly what this means), more participation by AoA in the workshops, and a more specific focus on certain issues (the creative mix and match of funding sources and specific "how-to" issues were some of the detailed suggestions).

One of the most exciting sessions did not appear on the Conference agenda. This was the meeting of the workshop coordinators that was held after the banquet Friday evening, when all the workshop coordinators presented and discussed the results of the deliberations of their workshops. This session, which lasted

nearly two hours, provided the materials which the Ecosometrics staff then further refined for Saturday morning's summary of workshop activities. This session worked well because the people involved were knowledgeable, energetic, and enthusiastic, it was a small group which facilitated the discussions, and there was strong interest in concisely stating and wrapping up issues so that everyone could proceed to other activities. Probably some of the most intense work of the Conference was done at this session. Ideally, all attendees should have observed or participated in this session, but it is difficult to imagine how this could actually have been accomplished without losing the special chemistry that made this session so productive.

EVALUATION OF FACILITIES

Participants generally evaluated tne facilities as good or good to excellent. The session rooms and banquet room received the nighest ratings, with the reception area next, followed by the hotel rooms and workshop rooms, and, finally, the other dining facilities. These ratings are noticeably higher than for similar conferences. Specific problems noted by participants included access to the hotels that provided overflow accommodations, accessibility for handicapped individuals, conflicts with the activities of other groups in the hotel, and problems with hotel registrations. Specific compliments included the general level of comfort and appearance, the proximity of hotel rooms and meeting rooms, the inclusion of entertainment within the hotel, and the quality of the meals.

One particularly successful feature was that of combining the Resource Center, so generously supplied and stocked by DOT's Office of Technology Sharing, with the unofficial Conference headquarters or nerve center. The use of a hotel room set up as a suite (i.e., no bed visible and a kitchenette available) instead of relegating the Resource Center to an open space in a hallway provided a most attractive meeting and browsing space for everyone. This feature added touches of both relaxation and professionalism that added to the overall positive atmosphere.

FUTURE CONFERENCES

Over 98 percent of those participants who turned in evaluation forms favored holding a second AoA/UMTA conference on transportation for the elderly

and handicapped. Fifty-six percent thought that the Conference should be held again within one year; the remainder felt that it should be held within two years. Some of the more creative suggestions involved a series of regional conferences one year, to be followed by a national conference the next year, and specifically scheduling the AoA/UMTA conference in alternative years from the National Rural Public Transportation Conference. The conferees called for a policy of varying the location of the conference in order to maximize attendance and looking for locations that would provide a first hand view of successful local transportation systems. A wide variety of sites were proposed as the location for the next conference: mid-central U.S. was the first choice, with Region IV and Region III the next choices. The most frequently mentioned specific locations were the State of Florida and Washington, D.C.

The comment that all Federal agencies controlling transportation funding for the elderly and handicapped should sponsor the next conference was as broadly supported as any specific comment on the evaluation form. Other offices within HHS were specifically mentioned as necessary participants in future conferences. Participants asked for as much advance notice and publicity as possible in order to be able to budget travel funds.

SUMMARY

The First AoA and UMTA National Conference on Transportation for the Elderly and Handicapped received very positive evaluations from the participants. It attracted a large number of attendees, and held the attention of most of them all the way through the end of the Conference on Saturday noon. Given the intense schedule, the competition from alternative attractions, and the difficulty in attracting people to Saturday sessions, the attendance and enthusiasm of the participants through Saturday noon was a strong testimonial to the quality of the Conference and its importance to those who attended.

Key factors contributing to the success of the Conference include the selection of an important and topical theme by the Conference Advisory Committee and the use of small group workshops. In these workshops, all Conference participants had an opportunity to contribute their ideas, experience, and energy to address and help solve problems that were identified at the Conference. This took the Conference away from a one-directional information

transfer mode to a multi-directional information sharing process. The process of being actively involved in the operation and results of the Conference appeared to be stimulating to many participants.

Problems with the facility should serve as a guide to future efforts, as should the facility's advantages. A major problem was the truly inadequate provisions for accommodating handicapped individuals, especially those in wheelchairs. Accommodations for vendors' equipment and displays were nothing more than a parking lot and hotel rooms. A particular problem was that persons in wheelchairs could not readily get to the vehicle display because there were no curb cuts at that part of the hotel. This problem was eventually addressed by constructing a temporary ramp from the parking lot to the sidewalk. Another issue was that of conflicting activities at the hotel, which created uncomfortable noise levels for Conference attendees. Such problems should be avoided when selecting future conference sites, if at all possible. Particular advantages of this site including the quality of the meals, the attractive appearance of the facility, and the proximity of meeting rooms and sleeping rooms. These features should be emulated by future conference planners.

The enthusiasm of the Conference's participants, their serious attendance, and their substantial contributions in identifying problems and solutions suggest that the idea of a second conference, which was almost unanimously supported by the attendees of the first Conference, should be seriously considered by AoA, UMTA, and other agencies involved in transportation for elderly and handicapped persons.

APPENDIX A

CONFERENCE ADVISORY COMMITTEE

CONFERENCE ADVISORY COMMITTEE

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APPENDIX C

WORKSHOP COORDINATORS

WORKSHOP COORDINATORS

Ms. Patricia Clarke, Upper Shore Aging, Inc., Chestertown, Maryland

Mr. Simpson Clark, U.S. Department of Health and Human Services, Revion IV, Atlanta, Georgia

Dr. William Crown, Brandeis University, Waltnam, Massachusetts

Mr. Charles Dickson, Shawnee Development Council, Inc., Kamak, Illinois

Mr. Bert Duckwall, Area 7 Senior Services, Terre Haute, Indiana

Mr. Randy Isaacs, National Association for Transportation Alternatives, Nashville, Tennessee

Ms. Betsy Kachmar, State of Indiana Department of Transportation, Indianapolis, Indiana

Ms. Judith Kuba, New York Department of Transportation, Albany, New York

Mr. Alfred LaGasse, International Taxicab Association, Rockville, Maryland

Mr. J. Lynn Leidersdorff, Watauga County Transportation, Boone, North Carolina

Mr. Derrick Lightfoot, Dallas Area Rapid Transit, Dallas, Texas

Ms. Jane Nichols, Lawrence Independent Living Resource Center, Lawrence, Kansas

Mr. Lyle Peterson, Rochester-Genessee RTA, Rochester, New York

Ms. Barbara Price, Rural America, Washington, D.C.

Ms. Lynn Sahaj, Urban Mass Transportation Administration, Washington, D.C.

Ms. Suzanne R. Scanlon, Sullivan County Transit Systems, Claremont, New Hampshire

Mr. Peter Schauer, Peter Schauer Associates, Booneville, Missouri

APPENDIX D

CONFERENCE AGENDA

CONFERENCE AGENDA

WEDNESDAY — OCTOBER 24, 1984

12:00 noon	REGISTRATION OPENS
5:00 p.m.	CONFERENCE RECEPTION
6:00 p.m.	BANQUET AND CONFERENCE WELCOME
7:30 - 9:00 p.m.	OPENING SESSION

- Introduction: Mr. Tom Lewis, Jr., Florida Department of Transportation

  Keynote Addresses: Ms. Lennie-Marie P. Tolliver, Commissioner on Aging, Administration on Aging

  Mr. Kenneth W. Butler, Urban Mass Transportation Administration

- UMTA's 16(b)(2) and Section 18 Programs, Charles Graves, Urban Mass Transportation Administration

- AoA Title III Program, Nell Ryan, Administration on Aging

9:30 p.m. — Reception sponsored by National Association for Transportion Alternatives

THURSDAY — OCTOBER 25, 1984

9:00 a.m.-5:00 p.m. REGISTRATION CONTINUES

8:30 - 10:00 a.m. GENERAL SESSION -- INNOVATIVE STATE PROGRAMS

- FUNDING
  - -- Wisconsin's 16(b)(2) Program, Frank Potts, Wisconsin DOT
  - -- Pennsylvania's Transit Assistance for E&H, William Underwood, Pennsylvania DOT
- COORDINATION
  - -- Florida's Consolidated Transportation Legislation, Marion Hart, Florida DOT
  - -- North Carolina's Approach to Coordination, Jesse Goodman, North Carolina Department of Human Resources

10:00 - 10:30 a.m. COFFEE BREAK

10:30 - 12:00 noon GENERAL SESSION - LOCAL SYSTEMS USING MULTIPLE FUNDING SOURCES

- Council on Aging Transportation Program, Craig Beckley, Dillsboro, Indiana
- Queens Paratransit, Stan Pritzer, Queens, New York
- Brokerage System, Margaret Williams, Madison County, New York
- JAUNT, Linda Wilson, Charlottesville, Virginia

12:00 Noon CONFERENCE LUNCHEON

- Featured Speaker: Mr. Ralph L. Stanley, Administrator, Urban Mass Transportation Administration

1:30 - 3:15 p.m. WORKSHOP - PROBLEMS ENCOUNTERED IN USING PARTICULAR PROGRAMS OR FUNDING SOURCES

Participants grouped with others of similar backgrounds

3:15 - 3:30 p.m. COFFEE BREAK

3:30 - 5:30 p.m. WORKSHOP - PROBLEMS ENCOUNTERED (continued)

Participants grouped with others of dissimilar backgrounds

8:00 p.m. VENDOR RECEPTION

FRIDAY **OCTOBER 26, 1984**

8:30 - 10:00 a.m. GENERAL SESSION -- CREATIVE ARRANGEMENTS FOR PROVIDING SERVICE

- SEPTA Paratransit, Suzanne Axworthy, Philadelphia, PA
- Robert Behnke, Aegis Transportation Information Systems, Honolulu, Hawaii
- VOLUNTEER TRANSPORTATION PROGRAM

  -- Ira Doom, Madison County, Huntsville, Alabama
- USER SIDE SUBSIDIES

  -- Tom Knight, Milwaukee, Wisconsin

10:00 - 10:30 a.m. COFFEE BREAK

10:30 - 12:00 noon GENERAL SESSION -- CONTRACTING WITH FOR-PROFIT PROVIDERS

- Barbara Berrent, Colonial Taxi and Paratransit Services, Bethel Park, Pennsylvania
- William Bodenhamer, Yellow Cab, Fort Lauderdale, Florida
- Bernice Jay, Checker Yellow Cab, Green Bay, Wisconsin
- Sigmund Zilber, Metro Taxi, North Miami, Florida
- Bill Williams, Raleigh Transportation Services, Raleigh, North Carolina

12:00 - 1:15 p.m. LUNCH

1:15 - 3:15 p.m. WORKSHOP -- SOLUTIONS TO PROBLEMS PREVIOUSLY IDENTIFIED

Participants grouped with others of dissimilar backgrounds

3:15 - 3:30 p.m. COFFEE BREAK

3:30 - 5:30 p.m. WORKSHOP - SOLUTIONS (continued)

6:30 p.m. CONFERENCE BANQUET

- Featured Speaker: The Honorable Paula Hawkins, United States Senator (Florida)

SATURDAY OCTOBER 27, 1984

8:30 - 10:00 a.m.	GENERAL SESSION -- REVIEW OF WORKSHOPS PROBLEMS AND SOLUTIONS • Moderator, Jon E. Burkhardt, Ecosometrics, Inc.
10:00 - 10:30 a.m.	COFFEE BREAK
10:30 - 12:00 noon	TOWN MEETING (QUESTION AND ANSWER SESSION) • Moderator, R.V. (Bud) Giangrande, Transportation Systems Center
12:00 noon	CLOSING CEREMONIES FOR ELDERLY AND HANDICAPPED CONFERENCE
2:00 - 5:00 p.m.	FIRST ANNUAL MEETING, NATIONAL ASSOCIATION FOR TRANSPORTATION ALTERNATIVES

APPENDIX E

SUMMARY OF EVALUATION FORM

THE FIRST AoA AND UMTA NATIONAL CONFERENCE ON
TRANSPORTATION FOR THE ELDERLY AND HANDICAPPED

SUMMARY OF CONFERENCE EVALUATION

Number of Forms Received (78)
Percentage of Attendees (33%)

1. Please rate the sessions you attended.

	Highly Useful/ Informative			Not Useful/ Uninformative		Number of Responses	Weighted Average
	1	2	3	4	5		
GENERAL SESSION							
Opening Session	5	23	24	16	4	72	2.9
Innovative State Programs	12	34	22	7	0	75	2.3
Local Systems Using Multiple Funding Sources	15	35	19	5	2	76	2.3
Creative Arrangements for Providing Service	10	39	15	6	0	70	2.2
Contracting with For-Profit Providers	15	27	17	9	2	70	2.4
Review of Problem and Solution Workshops	14	27	15	4	0	60	2.2
Town Meeting	8	13	11	1	1	34	2.2
WORKSHOPS							
First Grouping (Thursday)	14	28	23	9	4	78	2.5
Thursday Late Afternoon	14	27	21	8	2	72	2.4
Friday Early Afternoon	18	28	11	8	3	68	2.3
Friday Late Afternoon	13	21	11	6	2	53	2.3

2. Please rate the conference facilities.

	Excellent	Good	Fair	Poor	N.A.	Average
Session Rooms	15	56	7	0		1.9
Workshops Rooms	12	47	20	0		2.1
Reception Area	22	38	12	4		2.0
Banquet Room	20	44	10	1		1.9
Other dining facilities	11	33	21	5	1	2.3
Hotel Rooms	16	28	17	4		2.1

3. Do you feel there is a need for a second AoA and UMTA National Conference on Transportation for the Elderly and Handicapped? 69 Yes 1 No

If Yes, when do you recommend it be held -- in one year or in two years?
38 1 year 30 2 years

Where should the next conference be held?

REGION 3

Philadelphia (1)
Washington, D.C. (8)
Pittsburgh (1)

REGION 4

Florida (11)
Atlanta (1)
Kentucky (1)
Georgia (1)

REGION 5

Wisconsin (1)
Michigan (1)
Chicago (1)

REGION 6

St. Louis (1)
Dallas (4)
New Orleans (3)

REGION 7

Kansas City (4)
Des Moines (1)

REGION 8

Denver (2)
Colorado (2)

REGION 9

Las Vegas (1)
Phoenix (1)
San Francisco (1)

REGION 10

Seattle (1)

OTHER

Mid-USA (6)
Central (15)
Northern US (1)
East Coast (1)
West Coast (3)
South East (1)
Sunbelt (1)

3a. Comments on Need for Second Conference

Content

- should include update of 1st conference recommendations (1)
- should focus on AoA/UMTA link if to be billed that way (1)
- handicapped focus needed (1)
- add more on "operational procedures and funding of systems in "example" cities (1)

Location

- important not to let location be barrier to attendance (1)
- should vary location to maximize attendance (2)
- need location with better and closer activities (1)
- should have regional conferences, publish results, then have national conference (1)
- should hold in area with model coordinated system for participants to observe (1)
- should have a system of regional conferences only (1)

Timing

- should have national conference bi-annually and regional mid-years (1)
- should have back-to-back with national rural transportation conference (1)
- should have in alternative years from national rural transportation conf. (1)
- should hold jointly with Professor Bell (1)

Pre-Conference Planning

- should be sponsored by all Federal agencies controlling the various funding (8)
- should include other offices within HHS (2)
- need more publicity (1)
- should have lower registration and lodging costs (3)
- should hold only if a specific Federal source asks for a specific product which is at least step beyond previous efforts (1)
- send out options for agenda before conf. to tailor program to needs (1)
- please give notice of conf. the year before or early in FY for those on zero base budgets (1)

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4. What comments/suggestions do you have on the facilities?

General Comments

- very good and comfortable (7)
- adequate (4)
- -logistically difficult for those in another hotel (1)

Accessibility

- marginal handicapped accessibility (5)
- would help to leave block of empty spaces for wheelchairs scattered throughout seating in large meetings (1)

Hotel Layout and Environment

- not well layed out (3)
- not well lighted at night (1)
- simultaneous scheduling with synchonized swimmers very intrusive (15)
- nice not to have to walk miles from rooms to meeting facilities (2)
- garden area beautiful (1)
- good to have music and dancing in the facility (1)
- congested, should leave on "circulating air" system (1)
- need smoking and non-smoking area designations (2)
- helps to have tables to write on (1)
- coffee and danish should be available before a.m. session (1)

Hotel Rooms

- rooms nice (1)
- double at the Quality Inn next door was $29.00 (1)
- hotel room poor (2)
- nice, but too expensive (1)

Workshop and Meeting Rooms

- adequate and well air-conditioned meeting rooms (1)
- need an open mike at all general sessions (1)
- need better workshop rooms (1)

Meals

- the included meals were excellent (3)
- Luau was fun (1)
- Luau not good idea (too hot and humid outside) (1)

Location

- very nice (1)

Staff

- poor hotel staff attitudes (4)
- workshop rooms are organized in advance (1)

---

5. What comments/suggestions do you have on the program agenda?

General Comments

- suggest participants bring brochures on their programs (2)
- excellent program (5)
- well arranged (1)
- well organized, prompt, informative and enthusiastic (1)
- well run (1)
- one of best ever in terms of accomplishment and group participation (1)
- town meeting is always great (1)
- sessions should begin on time (1)

---

5. General Comments (continued)

- pleased there is commitment by Ecosometrics and NASTA to work to implement the ideas presented after conference (1)
- would like to feel that all our time spent identifying solutions was well spent (1)
- is there a commitment to the recommendations offered? (1)

Focus

- high priority of conference should be a 1-2 page executive summary and a 10-15 page statement of a proposed plan of action for briefings, media presentations, etc. (1)
- need more emphasis on meeting needs of handicapped (1)

Format

- workshops needed more structure (1)
- more time needed to develop concrete solutions (1)
- workshops too long and to many (3)
- conference too long, too few scheduled "time outs" (5)
- alternate general sessions and workshops (1)
- need more small group/less large presentations (1)

Speakers/General Sessions

- too many presentors/not enough question time (2)
- providers' presentations more useful than those of Federal officials (1)
- some sessions too basic/not innovative/below participants' level (4)
- focus Federal officials topic more/keynotes poor (4)
- private operator session not relevant to those outside big cities (1)
- should include vanpool and school bus contractors with taxis (1)
- should have focused more on state agency's roles as administrators not as providers (1)
- various phases of transportation were well presented (1)

Workshops

- groupings weren't particularly effective (7)
- group process was very good - instructions were very useful (1)
- enjoyed group interaction (1)
- need to involve AoA more in workshop participation (1)
- should focus more on funding sources and creative mix and match (1)
- need workshops on how-to basis (2)
- change leaders more than twice (so none "gets stuck") (1)
- workshops should be actually "working sessions" (1)
- information should be obtained prior to conference from all attendees relative to priority problems and evaluated (1)
- should be developed around particular workshop agendas (1)
- need more time on problems/less on solutions (1)
- "if we never have to list problems and solutions" again, agenda will be a success (1)
- not enough direction for participants on how to participate (1)

APPENDIX F

CONFERENCE PAPERS

COORDINATION AT THE STATE LEVEL: THE NORTH CAROLINA APPROACH

Submitted by:

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Coordination at the State Level: The North Carolina Approach

Introduction

Since 1974, an increasing number of states have initiated efforts at the state level to coordinate transportation services, particularly those services provided in rural areas. This paper presents a rationale for why the state may be the most effective level of government to pursue coordination and details the experiences of the state of North Carolina in implementing a state level strategy for coordination.

Why Coordination at the State Level?

State governments find themselves in a pivitol location in the process of converting federal funds into local human service and public transportation services. The majority of categorical federal programs involve state governments as grantee or responsible pass-through agency for federal funding of local services. Research has shown that the so-called barriers to local transportation coordination are not the result of federal law or regulation, but rather of policies, procedures and administrative practices imposed by agencies intermediate between the federal program and the local grant recipient. These policies, procedures, and practices have evolved through the authority given to states to focus the program goals and establish accountability systems to guide state/local interaction. As a result, each separate federal program has been administered by state and regional agencies as if no other program existed, in spite of the many instances of like client eligibility and common need among programs for support services such as transportation.

In effecting local transportation coordination, the removal of state agency policies, procedures, and practices that are viewed as barriers is a task only a state level initiative can address. This task becomes the primary role of state government in its effort to achieve coordination. Positive, consistent, and integrated guidance to local human service providers with regard to coordination can only be achieved through concerted action among all state level program administrators.

Each program for which a state agency is the federal grantee can be increasingly effective in its distribution of these funds by accounting for the degree of local coordination with other programs using or providing transportation for clients. In order for this to occur, state level coordination of allocation processes among departments and programs is essential. Only at a level and through a process with purview and authority over all state departments can allocation decisions be effectively utilized to influence coordination.

The passage of Section 18 in the Surface Transportation Act of 1978, gave state governments an additional federal program responsibility for allocation to local areas. In the case of Section 18 and unlike many of the statutes enabling human service programs, the state has been provided federal guidance which requires active pursuit of coordination as a central component of the management of the program.

This federal guidance was extremely important because it represented the first indication on the part of the USDOT that it considered its grantees responsible for addressing the human service client in its service delivery. Section 18 further required states to develop the administrative mechanisms necessary to bring about coordination between recipients and human service agencies. These actions have been significant in their impact on state

government's role in transportation coordination for the following reasons:

(1) it places the recipient of public transportation funds in the lead role with specific responsibilities for coordination at the local level; and

(2) it makes coordination of existing resources a prerequisite for receipt of additional resources for transportation.

State government is uniquely suited to and at the same time, responsible for ensuring that the administrative processes governing pass-through federal funds and allocations of funds granted to the state positively address the coordination of client transportation resources to the betterment of quality, effectiveness, and efficiency of service. Local action cannot impact these policies, procedures, and practices, nor can federal guidance accomplish the coordination of service delivery at the local level. Essential to the state's coordination effort is the thorough inventory, analysis, and recommendations of positive changes in state administrative structure so that the allocation decisions of the agencies in state government, and the policies governing them are positive, consistent and integrated.

This discussion suggests the need for the development of a mechanism at the state government level to achieve the changes described. The remainder of this paper will be devoted to detailing the experiences of the state of North Carolina in implementing a state level strategy for coordination.

The North Carolina Approach

In late 1976, Governor James B. Hunt, Jr., responding to concerns regarding the availability of transportation services for the elderly directed the Departments of Transportation and Human Resources to undertake a study of the transportation needs of North Carolina's rural population. As a part of

this effort Governor Hunt created a blue ribbon panel of citizens from across the state, including taxicab and intercity bus operators, human service agency directors, public transportation providers, and local and state officials and charged the panel with the examination of "existing transportation policies, programs, legislation, and authorities to determine the extent to which they contribute to a desirable policy for meeting transportation needs in rural areas." To support this panel, known as the Governor's Committee on Rural Public Transportation, an interagency staff was assembled from the North Carolina Departments of Administration, Human Resources, and Transportation. In addition, officials from the U. S. Department of Transportation, the Community Services Administration, and the U. S. Department of Health and Human Services served as advisors to the committee.

An extensive inventory, analysis, and evaluation of all twenty (20) federal grant programs that were providing transportation funds in-state substantiated the 1977 General Accounting Office report entitled, Hinderances to Coordinating Transportation of People Participating in Federally Funded Grant Programs which concluded that there were no express federal statutory or regulatory restrictions specifically prohibiting the coordination of transportation. The Committee in their final report, concluded:

> "*.... the administrative policies and procedures of state government agencies greatly impact on the delivery of transportation at the local level.... and state departments and agencies are in a strategic position to bring about better use of transportation resources.*"

Although the blue ribbon committee was aware of activity at the national level by a White House Interagency Task Force, the committee strongly felt implementation of state solutions were needed.

Governor Hunt subsequently accepted their recommendations and issued Executive Order #29 (Appendix A) calling for the coordination of all state

administered transportation programs. By coordinating the state funding decision process, it was felt that agencies could better overcome the "turf" problems which frequently arose in local coordination attempts. This state strategy consisted of three components:

(I) a technical assistance program to local agencies coordinated by NCDOT staff;

(2) the development of a local planning process to achieve coordination; and

(3) a state interagency review of all request for transportation funds.

The interagency review component is performed by a committee of representatives from each state agency (known as the Interagency Transportation Review Committee), which funds transportation either as a direct service or as a component of another service. This process is modeled after similiar approaches used in Michigan and South Carolina. Each request is evaluated on seven (7) factors (planning, coordination, operational efficiency, private sector participation, accessibility, safety, and general public service) in accordance with state goals and objectives.

The committee is made aware of request for funding in two (2) ways:

(1) through direct submission by local providers who receive state funds or federal pass-through funds from a state agency; and

(2) through the state's intergovernmental review process (formerly the A-95 review process) when the local agency receives funds directly from the federal government. (i.e., Headstart and RSVP.)

The Interagency Transportation Review Committee gathers information on the seven (7) evaluative criteria from the local Transportation Development Plan (TDP), or, in the event an area has not completed a plan, from a supplemental addendum which must be submitted as part of their overall annual budget

request. Staff to the committee proposes a recommendation for each request at regularly scheduled meetings of the committee. Upon adoption of the recommendation or of some modification, the committee transmits its findings to the responsible state agency. Although the committee's findings are only recommendations, actions contrary to their recommendation must have the approval of the Secretary of Transportation and the Secretary of the department from which the request was generated.

The state's coordination process has accomplished a number of its objectives over the last six (6) years. First, interagency review of all transportation requests has allowed state agencies to direct the financial resources of state government to local coordination projects. Once a local area identifies a coordination strategy, the committee will try to find capital and operating funds for the agency and will direct other agencies to negotiate purchase of service agreements with the designated providers. Additionally, the interagency review process has fostered a greater awareness of the need for coordination at the local level, has made state officials more aware of funding opportunities from other federal programs, and has permitted state agencies to review the effectiveness of various transportation programs as a result of uniform data collection.

Secondly, the state's strong technical assistance role has been the key to the successful development of transportation development plans in local areas across the state. In 1978, when the planning process was instituted only 13 counties in the state had developed plans. Today, all of North Carolina's 100 counties either have approved plans or have drafted plans in the state office awaiting formal approval.

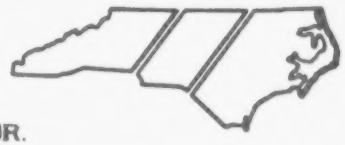
North Carolina's coordination process, while working well, has not been without its problems. The volume of work created by the interagency review

process has been substantial. Agencies from areas where a transportation development plan had not been completed were not enthusiastic about the additional work involved in completing the transportation addendum. "Turfism" is still a major problem and in many cases is the primary cause for non-implementation of a transportation development plan. Finally, the fact that each agency follows its own budget practices makes it most difficult to evaluate one program with another. Not only is this a problem for the state review process, but it poses substantial problems at the local level as well. We, in North Carolina feel we will be able to resolve this last concern with the implementation of the Uniform Public Transportation Accounting System that has been developed as part of our participation in the Transportation Accounting Consortium.

In conclusion, several key factors have been instrumental in North Carolina's transportation coordination initiative. Gubernatorial support for the findings of a blue ribbon commission report, endorsed by all of the affected state agencies, was particularly instrumental in North Carolina. Additionally, a state interagency committee has been involved with the state's efforts since their initiation. This involvement proved very beneficial when the process was implemented as a minimum of problems were encountered as each agency was familiar with the new procedures. Finally, the North Carolina Department of Transportation, working under the coordination mandates imposed by the Section 16(b)(2) and Section 18 programs has provided continued staff support to the coordination process. Without this staff support, neither the interagency review process; nor the local planning initiative would be existent in North Carolina today.

APPENDIX A

State of North Carolina



JAMES B. HUNT, JR.
GOVERNOR

EXECUTIVE ORDER NUMBER 29

WHEREAS, the Departments of Human Resources, Education, Natural Resources and Community Development, and Transportation administer state and federally funded programs, many of which may be used directly or indirectly to provide needed transportation for the recipients of human services; and

WHEREAS, these programs incorporate varying amounts of public funds furnished by federal, state, and local governmental units; and

WHEREAS, it is known that at the local level, there sometimes occurs a duplication of effort as well as identification of gaps in the delivery of human services transportation; and

WHEREAS, human services vehicles in some cases are not being used as efficiently or effectively as possible and, therefore, are unable to provide the transportation needs of their clients; and

WHEREAS, the administrative policies and procedures of these several State government agencies greatly impact on vehicle usage and the delivery of transportation services at the local level; and

WHEREAS, there is a need for a statement on coordination of resources and these State departments and agencies are in a strategic position to bring about better use of transportation resources; and

WHEREAS, there are forms of public transportation, such as buses and taxicabs, available to provide transportation service; and

WHEREAS, it should be the policy of the State of North Carolina to support and utilize wherever practical existing transportation resources, public and private, before any new resources will be made available through public funds; and

WHEREAS, it should be the policy of the State of North Carolina that departments and agencies supported by public funds will fund existing providers if the provider is willing, able, and agreeable to furnish the proposed transportation in a cost-effective manner before funding new public transportation programs; and

WHEREAS, the providing of transportation services can support the attainment of balanced growth in North Carolina;

NOW, THEREFORE, IT IS HEREBY ORDERED THAT:

Section 1. There is hereby created the North Carolina Public Transportation Advisory Council. The Advisory Council will be composed of nineteen members: one member from each of the seventeen multicounty regions and the Secretary of the Department of Human Resources and the Department of Transportation. The Governor shall appoint the seventeen lay members to serve at the will of the Governor who shall represent a cross section of transportation interests. The Secretary of Transportation shall chair the Advisory Council.

Section 2. The Advisory Council shall have the following duties:

(1) To review and make recommendations to the Interagency Transportation Review Committee concerning guidelines and criteria for the Review Committee;

(2) To review and make recommendations to the funding agencies concerning project situations when there are unresolved problems between the Review Committee and the applicant or other local interests;

(3) To advise and make recommendations to the Board of Transportation concerning public transportation policy; and

(4) To develop transportation policies which are consistent with balanced growth.

Section 3. There is hereby created the North Carolina Interagency Transportation Review Committee. The Review Committee will be composed of Representatives from the Departments of Education, Human Resources, Natural Resources and Community Development, and Transportation. The Secretaries of the respective departments shall appoint the representative(s) from their departments who shall represent each funding agency. The Secretary of Transportation shall chair the Review Committee.

Section 4. The Review Committee shall have the following duties:

(1) To implement policy and apply criteria as developed by the Advisory Council.

(2) To provide written notice of recommendations based upon review of applications or plans to the appropriate state agency; and

(3) To review all transportation components of applications or plans requesting transportation funding when the funds are administered by a state agency.

Section 5. The Department of Transportation shall provide the planning, technical, and administrative support for the Review Committee and Advisory Council.

Section 6. The Secretary of Transportation, after conferring with the appropriate departmental Secretaries, shall have the final authority on all transportation funding decisions.

Section 7. To further the objectives of this Executive Order, all departments and agencies under the Governor's Jurisdiction shall immediately draft directives and procedures

necessary to implement these policies. Such drafts shall be submitted to the Secretary of Transportation for review and approval within 60 days of the signing of this Executive Order.

Section 8. Every agency within State Government within my authority is requested to cooperate with the Council and Committee in providing all necessary information regarding their activities.

Section 9. This order shall become effective immediately.

Done in Raleigh, North Carolina, this the 6th day of December, 1978.

GOVERNOR OF NORTH CAROLINA

FLORIDA STATUTE 427-RULE 41
COORDINATED TRANSPORTATION FOR ELDERLY HANDICAPPED AND ECONOMICALLY DISADVANTAGED IN FLORIDA

Submitted by:

Marion Hart, Jr. Florida Department of Transportation, Tallahasse, Florida

FLORIDA STATUTE 427 - Rule 41

COORDINATED TRANSPORTATION FOR ELDERLY HANDICAPPED AND ECONOMICALLY DISADVANTAGED IN FLORIDA

Advocates for improving the mobility of the transportation disadvantaged; namely, the elderly, the disabled, and those families with low income and unable to use the traditional means of transportation (the private automobile or public transit) for social, physical or economic reasons, were successful in obtaining the passage of landmark legislation, Chapter 427, F.S. The chapter mandates the establishment of coordinated services at the county level, and places responsibility for implementing coordinated transportation in the hands of a Coordinating Council for the Transportation Disadvantaged that was appointed by the Governor.

The purpose of the Coordinating Council is to foster the coordination of transportation services to be provided to the disadvantaged. The Council is charged with developing procedures and policies on coordinated systems. Among the most important and controversial actions taken by the Council--as part of the legislative mandate--was to establish a set of approved practices for local providers, identified as Chapter 41-1 of the Florida Administrative Code.

Chapter 41.1 generated an unusual amount of overt opposition when first promulgated and, as a result of a considerable number of written comments and public hearings, a modified set of policies were established and are legally in place. Any adjustments necessary to make Chapter 427 F.S. work even better can be accomplished by revisiting Chapter 41-1 of the Florida Administrative Code.

As of July 1984 the Coordinating Council accepted as prospective providers specific organization in 65 of 67 counties with whom the Florida Department of Transportation has already completed 38 Memorandum of Agreements, and is expected to complete 29 additional agreements concerning local systems in operation by July 1, 1985.

The majority of the initial problems affecting our ability to implement Chapter 427, F.S., have been resolved, even though others occasionally develop, we currently have the

capacity to solve most problems within a reasonable period of time. Through state agencies and other social service organizations working together, many duplicative and other fragmented functions have been consolidated and coordinated under one umbrella, and have significantly reduced overall social service transportation costs incurred by the taxpayers. It is anticipated that these savings will offset the need for any special appropriations to complete the implementing or sustaining of Chapter 427, F.S. Currently, 26 coordinated systems have been operational in excess of four months. The cost experienced for those systems reveal that 80 percent had a cost savings, and 100 percent had no increase in cost. The level of service experience revealed that 100 percent of such systems had an increase in the service provisions to disadvantaged clients.

While there does not appear to be a long-term financial problem; initially, there was a short-term (90-120 days) cash flow problems, but due to the efforts of the Florida Department of Transportation in conjunction with local governments this is no longer a major problem. Most of the transportation services furnished by the provider will be on a reimbursable basis. If the purchasing agencies are slow in processing payment invoices, most nonprofit providers will have a difficulty in meeting interim operating expenses. This too is currently being compensated for by use of authority granted to the largest purchase-of-service agency (HRS) in the 1981-82 General Appropriations Bill. That bill has language permitting advance start-up monies for certain programs, many of which have funded transportation functions. However, this is a discretionary power on the part of HRS administrators and may not be considered an appropriate application in this instance. The agency and Adult Services Program is also empowered to pre-purchase transportation services under this provision of the law.

The detailed duties and responsibilities of providers are not enumerated in the law nor rule. This is not an oversight but a deliberate omission predicated on testimony received at public hearing son Rule 41-1. Specific responsibilities for all potential providers are to be delineated by either the county or a Metropolitan Planning Organization preparatory to the official designation of provider. These criteria are to be based on an overall 5-year transportation disadvantaged development plan. Additional criteria may be contained in the Memorandum of

Agreement executed between the provider and the Department of Transportation.

The designation of a single Coordinated Community Transportation Provider in no way infringes on the authority of local social service agencies to plan, budget, authorize, and monitor transportation services for their constituency. Rather, it is an attempt to facilitate better services to the entire community of social service clients and to permit social service agency personnel to devote more time to delivery of primary services. Caseworkers will now be given the opportunity to perform in a professional capacity rather than as chauffeurs, transportation arrangers, and vehicle procurers.

There is no intent at the present time to consolidate funding nor program administration. Each agency will continue to be responsible for determining client eligibility, client fee contributions, solicitation of donations, and control of travel authorizations. Funds will remain under agency control and provider reimbursement will not be notably different from present purchase-of-service arrangements. The only significant department from present custom is that agencies must deal with a "designated" bulk transportation provider rather than with numerous operators. This bulk purchase should produce a cheaper overall rate for client services while permitting subcontracting of work to other qualified operators. Vehicle deployment will be tailored to specific local conditions dictated by local officials during the development of the 5-year operation plan. All federal, state and local program managers are continually confronted with the situation of differing fiscal years, and seem to have reached some kind of accommodation. Thus, no serious problem in implementing Chapter 427, F.S., is posed by varying fiscal years.

Permitting maximum local flexibility in addressing implementation of social service transportation systems often gives the impression of disarray. The rule is structured such that many alternative applications are permissible under a single rule provision. Thus, apparent inconsistencies would occur in interpreting provisions applicability to differing circumstances. The observation that no statewide consensus of opinion exists on Rule 41-1 is true and this situation will likely exist indefinitely. The diversity of Florida's political, social and economic environment almost guarantees conflicting juogements about the "right" solution to a particular problem.

The Coordinating Council has an obligation to provide technical assistance to local organizations, and will be pleased to honor any requests to assist counties in their endeavors. We do feel, however, that the Metropolitan Planning Organization should also be involved since they are statutorily responsible for some of the issues that will be occasionally raised.

Our major goal is to have good accessible, cost effective, and efficient transportation systems made available that are specifically designed to meet the needs of the disadvantaged. Through training and development the available transportation systems are fastly becoming more responsible to the special needs of the participants.

Private-for-profit providers are being utilized under contract in several counties, while still others continue to operate otherwise in the remaining areas. The concept of coordinated transportation has not, and will not, put a strain on any of the traditional providers; the current law has the capacity to include them.

Many other states are moving in the direction of developing a statewide coordinated transportation system. National policy is being developed to support such a concept. Florida has progressed ahead of similar developments elsewhere. There is no other viable alternatives currently available to offset the potential loss of funds for transportation at the national, state, and local levels. The projected population for the elderly and handicapped, as well as the economically disadvantaged, for the next ten years in the State of Florida is astonishing.

DEFINITIONS

(1) "Transportation disadvantaged" means those individuals who because of physical or mental disability, income status, or age are unable to transport themselves or to purchase transportation and are, therefore, dependent upon others to obtain access to health care, employment, education, shopping, social activities, or other life-sustaining activities.

(2) "Metropolitan planning organization" means the organization responsible for carrying out transportation planning and programming in accordance with the provisions of 23 U.S.C. s. 134, as provided in 23 U.S.C. s. 104(f)(3).

(3) "Agency" means an official, officer, commission, authority, council, committee, department, division, bureau, board, section, or any other unit or entity of the state or a city, town, municipality, county or other local governing body or a private nonprofit service-providing agency.

(4) "Transportation improvement program" means a staged multiyear program of transportation improvement, including an annual element, which is developed by a metropolitan planning organization.

(5) "Coordinated community transportation provider" means a transportation provider designated by a metropolitan planning organization, or by the appropriate agency as provided for in § 427.011-427.018 in an area outside the purview of a metropolitan planning organization, to serve the transportation disadvantaged population in a community and which, to the fullest extent possible, reduces the fragmentation and duplication of service provision among all the state or federally funded programs that provide services to transportation disadvantaged individuals.

(6) "Member department" means a department whose secretary is a member of the coordinating council.

(7) "Paratransit" means those elements of public transit which provide service between specific origins and destinations selected by the individual user with such service being provided at a time that is agreed upon by the user and provider of the service. Paratransit service is provided by taxis, limousines, "dial-a-ride", buses, and other demand-responsive operations that are characterized by their nonscheduled, nonfixed route nature.

(8) "Transportation disadvantaged funds" means any state or available federal funds that are for the transportation of the transportation disadvantaged. Such funds may include, but are not limited to, funds for planning, administration, operation, procurement, and maintenance of vehicles or equipment and capital investments. Transportation disadvantaged funds shall not include funds for the transportation of children to public schools.

(9) "Joint-use program" means an approved program utilizing school buses to transport the transportation disadvantaged.

COORDINATING COUNCIL ON THE TRANSPORTATION DISADVANTAGED

Coordinating Council on the Transportatior
Disadvantaged--There is created a Coordinating Council on the Transportation Disadvantaged, hereafter referred to as the coordinating council.

(1) The coordinating council shall consist of the following members:

(a) The secretary of the Department of Transportation, or his designee, who shall serve as chairman of the coordinating council.

(b) The secretary of the Department of Community Affairs or his designee.

(c) The secretary of the Department of Health and Rehabilitative Services or his designee.

(d) The Commissioner of Education or his designee.

(e) The president of the Florida Association for Community Action Agencies, who shall serve at the pleasure of said association.

(f) A person over the age of 60 who is a member of a recognized statewide organization representing elderly Floridians. Such person shall be appointed by the Governor to represent elderly Floridians, shall serve a term of 4 years, and shall be appointed within 30 days of October 1, 1979.

(g) A handicapped person who is a member of a recognized statewide organization representing handicapped Floridians. Such person shall be appointed by the Governor to represent handicapped Floridians, shall serve a term of 4 years, and shall be appointed within 30 days of October 1, 1979.

(h) A citizen advocate representative who shall be appointed by the Governor for a term of 4 years.

(2) The Department of Transportation shall have the primary responsibility for providing staff support and for carrying out the policies and procedures of the coordinating council.

(3) All members of the coordinating council shall be allowed per diem and traveling expenses, as provided in s. 112.061.

(4) The coordinating council shall be organized and hold its first meeting no later than January 1, 1980, and shall make an annual report to the Governor and the President of the Senate and Speaker of the House Legislature.

Section 3. Section 427.018, Florida Statutes, is reenacted and amended to read:

COORDINATING COUNCIL; PURPOSE AND RESPONSIBILITIES

Coordinating council; purpose and responsibilities--The purpose of the coordinating council is to foster the coordination of transportation services provided to the transportation disadvantaged. In carrying out this purpose, the coordinating council shall:

(1) Compile all available information on the transportation needs of the transportation disadvantaged in the state.

(2) Establish statewide objectives for providing essential transportation services for the transportation disadvantaged.

(3) Develop policies and procedures for the coordination of federal and state funding for the transportation disadvantaged.

(4) Analyze barriers prohibiting the coordination of transportation services to the transportation disadvantaged and aggressively pursue the elimination of these barriers.

(5) Serve as a clearinghouse for information about funding sources and innovations in serving the transportation disadvantaged.

(6) Assist communities in developing transportation systems designed to serve the transportation disadvantaged. In providing such assistance, special emphasis shall be placed on working with rural communities.

(7) Assure that all procedures, guidelines, and directives issued by member departments are conducive to the coordination of transportation services.

(8) Develop standards covering coordination, operation, and utilization of transportation services for the disadvantaged.

(9) Develop rules and procedures to implement the provisions of § 427.011-427.018. The rules shall identify procedures for coordinating with the review procedures pursuant to Office of Management and Budget circular A-95 and s. 216.212(1) and any other appropriate grant review process.

(10) Approve the appointment of all coordinated community transportation providers and agencies that plan for the coordination of transportation for the transportation disadvantaged in areas outside the purview of a metropolitan planning organization.

(11) Approve and coordinate joint-use programs based on the following criteria:

(a) Programs shall be energy-efficient by transporting a minimum average number of eight riders per vehicle trip counted on an annual basis.

(b) Program services shall be provided on at least a weekly basis.

(c) Program submittal shall include a description of services to be provided, transportation disadvantaged groups to be served, and a formal resolution of support and endorsement by the local school board.

DEPARTMENT OF TRANSPORTATION; POWERS AND DUTIES

Department of Transportation; powers and duties--The Department of Transportation, in carrying out the policies and procedures of the coordinating council shall:

(1) Prepare a statewide 5-year transit and paratransit development plan addressing the transportation problems of the transportation disadvantaged. The plan shall be reviewed and approved by the coordinating council and may be amended as authorized by rules promulgated by the

coordinating council. The plan shall be developed in a manner that will assure maximum use of existing resources and optimum integration and coordination of the various modes of transportation. In addition, the plan shall incorporate transportation improvement programs developed by metropolitan planning organizations, as well as plans developed by the body or agency designated by the Department of Transportation in areas outside the purview of metropolitan planning organizations, as provided for in subsection (3). Further, prior to the commencement of each fiscal year, the Department of Transportation shall develop an annual element of the 5-year plan, which shall also be reviewed and approved by the coordinating council and which may be amended in accordance with rules promulgated by the coordinating council. The annual element shall outline the manner in which transportation disadvantaged funds are to be expended. No transportation disadvantaged funds shall be expended unless they are contained in the annual element.

(2) Have the primary responsibility for monitoring and, without delaying the application process, coordinating applications for all transportation disadvantaged funds.

(3) With the approval of the coordinating council, designate an official body or agency in any area outside the purview of a metropolitan planning organization to plan for the coordination of transportation of the transportation disadvantaged. Each designated official body or agency shall designate the coordinated community transportation provider to serve its area.

(4) Coordinate all programs with appropriate state agencies, regional planning agencies, and local agencies with transportation systems in the area of any proposed transportation project to ensure compatibility of transportation systems for the transportation disadvantaged with available systems in the area and also to ensure that the most cost-efficient method of providing transportation to the disadvantaged is programmed for development.

FUNCTION OF THE METROPOLITAN PLANNING ORGANIZATION IN COORDINATING TRANSPORTATION FOR THE TRANSPORTATION DISADVANTAGED

Function of the metropolitan planning organization in coordinating transportation for the transportation disadvantaged.

(1) In developing the transportation improvement program, each metropolitan planning organization in this state shall include a realistic estimate of the revenue that will be derived from transportation disadvantaged funds in its area. The transportation improvement program shall also identify transportation improvements that will be advanced with such funds during the program period. Funds required by this subsection to be included in the transportation improvement program shall only be included after consultation with all affected agencies and shall only be expended if such funds are included in the transportation improvement program.

(2) Each metropolitan planning organization shall designate a single coordinated community transportation provider with which any agency receiving transportation disadvantaged funds shall contract of the provision of transportation services. If, for reasons identified in rules promulgated by the coordinating council, a single coordinated community transportation provider cannot be designated, the metropolitan planning organization may designate more than one coordinated community transportation provider to serve the area, provided that all providers agree upon a common plan for the coordinated delivery of service. The designation of any coordinated community transportation provider shall be subject to the approval of the coordinating council.

(3) Nothing in this section shall be construed to prohibit the coordinated community transportation provider from subcontracting with other transportation providers, with the consent of the coordinating council.

EXPENDITURE OF STATE AND FEDERAL FUNDS FOR THE TRANSPORTATION DISADVANTAGED

427.016 Expenditure of state and federal funds for the transportation disadvantaged--All transportation disadvantaged funds shall be expended to purchase transportation services from public, private, or private nonprofit providers, unless otherwise prohibited by law. However, in areas where transportation suited to the unique needs of a transportation disadvantaged person cannot be purchased, the service may be provided directly by the appropriate agency.

CONFLICTS WITH FEDERAL LAWS OR REGULATIONS

Conflicts with federal laws or regulations--Upon notification by an agency of the Federal Government that any provision of this act conflicts with federal laws or regulations, the state or local agencies involved may take any reasonable steps necessary to assure continued federal funding. Further, it is the legislative intent that the conflict shall not affect other provisions or applications of this act that can effectively be implemented without implementation of the provision in question, and to this end, the provisions of this act are declared severable.

EXPIRATION OF STATE STATUTES 427.011-427.018

427.018 Expiration of §. 427.018--The provisions of§. 427.011-427.018 are repealed on October 1, 1989, and shall be reviewed by the Legislature pursuant to s. 11.611

STATE OF WISCONSIN SPECIALIZED TRANSPORTATION ASSISTANCE PROGRAM

Submitted by:

Frank Potts, Wisconsin Department of Transportation, Madison, Wisconsin

STATE OF WISCONSIN

SPECIALIZED TRANSPORTATION ASSISTANCE PROGRAM
FOR PRIVATE, NONPROFIT ORGANIZATIONS

1. Program Goal:

The goal of the program is to provide assistance in meeting the transportation needs of elderly and handicapped persons where public transportation services are unavailable, insufficient or inappropriate.

2. Assistance Provided:

The program provides capital grants which cover 80% of the cost of acquiring new transportation equipment for use in specialized transportation services for elderly and handicapped persons. Such equipment typically includes window vans and small buses which may be adapted with wheelchair lifts and securements to transport disabled persons. Two-way radio communications equipment is also an eligible acquisition. No assistance is available for the administrative or operating costs of a specialized transportation service.

3. Eligible Grant Applicants & Recipients:

Organizations which are incorporated in Wisconsin as private, nonprofit corporations are eligible to apply for and receive capital grants under the program. Title to equipment which is acquired with program grants must be held by the private, nonprofit grantees. Usually these organizations also operate the equipment, however a grantee may lease its equipment to other private, nonprofit or private for-profit organizations for use in their specialized transportation services. Program equipment may also be leased by a grantee to a public agency, if that agency does not engage in public transportation service and if it cannot acquire grants from other UMTA programs. In any case, the grantee must exercise continuing and effective control over the program equipment to which it holds title.

4. Program Sponsorship and Responsibilities:

Grants are made with both federal and state funds. The federal funds are authorized under s. 16(b)(2) of the Urban Mass Transportation Act of 1964, as amended, and are awarded to the state through a program administered by the Urban Mass Transportation Administration (UMTA) of the U.S. Department of Transportation. The Wisconsin Department of Transportation was designated by the Governor on September 10, 1974 to receive and administer the federal funds on the state level.

The state funds are authorized under s. 85.22, Wisconsin Statutes. This statute also gives the Wisconsin Department of Transportation the power to administer these funds. In practice, the department administers both the state and federal funds under one program.

5. Level of Assistance:

During the two-year period from July 1, 1982 to June 30, 1984 the following amounts of assistance were available:

	1982-83	1983-84
Federal Funds	436,111	436,111
State Funds	502,600	517,700
TOTAL	938,711	953,811

6. Local Funding Requirements:

A private, nonprofit grantee under the program must raise a matching share of 20% of the cost of equipment acquired with program grants. The source of the match may be from local or state sources. It may also be from federal sources when those sources permit their aids to be used as match for other federal aids.

7. Eligible Use of Program Equipment:

The primary purpose of program equipment is to provide transportation service to elderly or disabled persons. Private, nonprofit grantees have the discretion to establish service areas; passenger revenue policies; specific eligibility standards for passengers from the general elderly and handicapped public; and other service characteristics.

8. Award of Grants:

State and federal program funds are awarded as grants to private, nonprofit organizations by the Wisconsin Department of Transportation under an annual statewide competitive application process which takes place in the fall. Application instructions and exhibits are distributed in the form of a booklet by the Department's Transportation District Offices. Distribution of the booklets is preceded by the widespread mailing of a program announcement flyer and by news releases to newspapers throughout the state.

Applications are evaluated and ranked by a four person team composed of two staff from the Department of Transportation and two staff from the Department of Health and Social Services. Each application is evaluated and given a score according to the following standard criteria:

Criterion	Range of Points Possible
Coordination	0-75
Service to the General Elderly & Handicapped Public	0-75
Identification of Need	0-75
Financial and Managerial Capabilities	0-45

A maximum of 270 points may be given to an application according to the above scoring criteria. In order for an application to be considered for the award of a grant, it must achieve a score of at least 100 points. When the value of the requests for equipment exceed available funding, grants are awarded to applicants in rank order starting with the highest-scored applications and continue in declining order until all program funds are exhausted.

9. Opportunity for Competition:

An applicant for a program grant must demonstrate that it has provided other operators of transportation services within the applicant's proposed service area an opportunity to provide the service which the applicant proposes to operate. To do so, the applicant must advertise its intention to apply for a grant, and it must furnish all known transportation providers in its service area with a description and estimated cost of its planned services along with an invitation for proposals or bids for this service.

In each case where an applicant receives a proposal from another transportation provider, the department determines whether the proposal offers service that will meet the applicant's needs. If the proposal does meet the applicant's need and is priced at less than the applicant's estimated cost, the application is rejected.

10. Procurement Process:

The requests for equipment by all applicants to which grants are awarded are consolidated and the department writes specifications for all of this equipment. The department then advertises these specifications and solicits bids from equipment dealers. Orders for the equipment are placed by the department with those vendors who have submitted low bids. Vehicles are delivered to the department's fleet maintenance center in Madison where they are inspected to insure that specifications have been met and adequate dealer preparation has been performed. Vehicles are then registered and titled to the private, nonprofit grantee upon payment of its 20% share of the equipment's cost. The department attaches liens to all vehicles so as to secure the state or Federal financial interests in the vehicles.

STATE OF WISCONSIN

SPECIALIZED TRANSPORTATION ASSISTANCE PROGRAM
FOR COUNTIES

1. Program Goal:

The statutory purpose of the program is to improve and promote the maintenance of human dignity and self-sufficiency by affording the benefits of transportation services to those people who would not otherwise have an available or accessible method of transportation.

2. Assistance Provided:

The program provides financial aid to Wisconsin's 72 counties for specialized transportation services designed primarily for use by elderly or disabled persons. A county may use the aid to assist transportation services which it directly operates or it may assist transportation services which other public or private organizations operate through grants or purchases of service. In either case, the costs of operation, administration and equipment are all eligible program expenses. A county may also use the aid for technical or managerial studies and for user-side subsidies that enable elderly or disabled persons to use existing services such as taxis at reduced fares.

3. Eligible Grant Applicants and Recipients:

Only agencies of county government may apply for the program aid. These agencies may, however, distribute the aid to other public or private organizations through grants or purchases of service. In order to be an applicant, a county agency must be designated as such by a resolution of that county's Board of Supervisors. A county may submit only one application per year.

4. Program Sponsorship and Responsibilities:

Program aid is drawn from the state's segregated transportation fund. The aid is authorized under s. 85.21 of the Wisconsin Statutes. The Wisconsin Department of Transporttion is the agency designated by statute to administer the program.

5. Level of Assistance:

During the two year period that includes 1983 and 1984, the following amounts of program aid were available:

1983	1984
$3,114,200	$3,207,600

6. Local Funding Requirements

A county must provide matching funds equal to 20% times the amount of program aid for which it applies. The matching funds may not be categorical state or federal aids from other programs.

7. Eligible Services:

State law requires that recipients of program aid must give priority to medical, nutritional and work-related trips with their specialized transportation services. The law further requires that a county collect "copayments" from passengers who use the specialized transportation services for other than the prioritized purposes, although a county may charge copayments for all trips if it chooses. Other service characteristics such as service area, frequency and schedule, routes, passenger eligibility criteria and mode of transportation are designed and adopted at the discretion of the county or its subcontractors. A county may also permit the public to use its specialized services on a space available basis.

The types of local programs that most commonly receive the state aid are advance-reservation van or mini-bus services; volunteer driver-escort services; occasional chartered group trips; and user-side subsidies.

8. Distribution of Aid:

Program aid is allocated by a formula to counties. The formula produces an estimate of the number of each county's residents who are 65 years of age or older or who are handicapped. Preliminary county allocations are computed by applying each county's percentage of the state's total estimated elderly and handicapped population to the annual program appropriation. Final allocations are then derived by adjusting the preliminary allocations so that no county receives less than 0.5% (rounded to the nearest $1,000) of the total program aid available. In 1984, this formula produced minimum allocations of $16,000 for the state's 22 least populous counties. Other larger counties received larger allocations ranging in size up to $652,968 for Milwaukee County.

Allocations are paid in annual lump sums to counties upon their completion of an application process which requires a public hearing, preparation of service descriptions and budgets, and interagency cooperation or review by a county's aging unit and its community services (developmental disabilities and mental health) program.

9. County Trust Arrangements:

No separate grants for equipment acquisitions are available through the program. However, a county may hold in trust the state aid which it receives but does not spend from its annual allocations. Aids which are accumulated in this way over multi-year periods may only be used for the purchase, rehabilitation or major maintenance of transportation equipment. Such a trust arrangement must be authorized by a county's Board of Supervisors and approved by the department. There is no pre-defined limit to the amount of aid which a county may hold in trust from any year's allocation, however the amount of aid held in trust must be consistent with a plan for using the trust fund which has been prepared by a county and approved by the department.

FUNDING OF DEMAND RESPONSIVE TRANSPORTATION FOR THE ELDERLY IN PENNSYLVANIA WITH STATE LOTTERY FUNDS

Submitted by:

William Underwood, Pennsylvania Department of Transportation, Harrisburg, Pennsylvania

Prepared by:

Michael Brown for the Transportation Research Board, April, 1984.

FUNDING OF DEMAND RESPONSIVE TRANSPORTATION FOR THE ELDERLY IN PENNSYLVANIA WITH STATE LOTTERY FUNDS

One of the major developments in transportation during the late 1960's and the decade of the 1970's has been the rapid evolution of shared-ride demand-responsive services. Such services developed as a supplement or alternative to traditional fixed route bus services and call and demand taxi services, and generally were created to provide service to those individuals without access to fixed route services (like residents of rural areas) or who found it difficult or impossible to use them (such as the handicapped or the poor).

During this period a long series of studies and demonstration programs examined and experimented with the numerous variations of demand-responsive services that had come into being worldwide. By the end of the seventies, all the studies and demonstrations had pointed to several areas of major concern that would have to be addressed if demand responsive services were going to be able to help alleviate the problems of the transportation disadvantaged. The major problem, was lack of a consistent funding base on which providers could depend. Efforts to generate interest in demand responsive services at the local level continually floundered on that point. The demonstration programs, illustrated the problem most clearly, since they made money available for short periods of time, usually a year or two, then required the services to support themselves. Since operating revenues could not suport the service, and since the local tax base was generally unable or unwilling to do so, the services were cut back or discontinued altogether. Only those services which were directly associated with client transportation for specific social service agencies were able to operate successfully. And here also the quality and quantity of service fluctuated according to the results of the annual budgeting process at the federal, state and local level.

Without the commitment of government to fund the operating deficits of demand responsive services as it did urban fixed route systems, such services continued to be marginal at best. And to make things worse, in Pennsylvania, as in so many other places, the high inflation of the late seventies, coupled with a slowdown in government's ability to absorb rapidly expanding social service program costs, began to eat away at the social service transportation network as well.

Act 101

It was in this general atmosphere that the Pennsylvania Legislature took up the task of consolidating numerous state laws governing transportation in 1980. Representatives of predominately rural areas had for a number of years been complaining of the inequities of one program in particular, the Free Transit Program for Senior Citizens. The Free Transit Program provided fixed route operators who participated in the program with 75 percent of the average fare for each senior citizen they allowed to ride free during non-peak operating hours.

Rural legislatures pointed out that fixed route bus service existed almost exclusively in urban and suburban areas, and as a result, their constituents contributed to the Lottery Fund by buying tickets, but were denied any corresponding benefits, since transportation services did not exist for them to use. Realizing that fixed route transit service could not be successful in rural areas, the Legislature added provisions to the new law making Lottery funds available to plan, develop and operate shared-ride demand responsive transportation systems which would be primarily for senior citizens, but also open to the general public. The consolidation bill passed and was signed into law by Governor Thornburgh as Act 101 in October of 1980. For the first time a continuing source of funds was made available to support demand responsive transportation services. The Pennsylvania Department of Transportation was given the overall responsiblity for the administration of the program, after having consulted with the Department of Aging on the operating guidelines to be implemented.

Program Details - Section 406

The funding of demand responsive transportation services is embodied in two separate sections of Act 101, and each section has a somewhat different approach. Section 406 is a County Entitlement program, and makes a specific amount of Lottery money available to each county (except Allegheny and Philadelphia Counties). The amount is based upon a formula involving the numbers of senior citizens in each county, with no county eligible for more than $600,000 or less than $37,500. The county commissioners from each county have to be the applicant for the funds. The funds will lapse only if the county fails to develop some kind of system within 5 years, and they can be used in a variety of ways:

1. For counties wishing to establish or expand shared-ride demand responsive transportation services, Section 406 funds up to 100 percent of the cost of planning.

2. Section 406 also pays up to 100 percent of eligible capital and startup costs. Section 406 funds have been used by counties to purchase a wide variety of capital equipment, such as: vehicles, radios, computers, office furniture, buildings, mechanics' tools and copiers. Startup costs paid for have included radio and newspaper advertising, driver and staff training, telephone installation, wages and benefits, and printing. Over $4 million in capital/startup grants have been approved, with more than $2 million in payments made through December 1983.

3. In addition, Section 406 funds can be used for revenue replacement. Each senior citizen age 65 and above riding on shared-ride demand responsive services must pay 25 cents or 25 percent of the regular adult fare, whichever is greater. This senior citizen payment may also be made by a third party, such as an Area Agency on Aging. The remainder of the fare is paid with State Lottery Funds. The general pubic rides at the regular adult rate.

4. Counties also have the option of developing their own system, totally owned and oeprated by county personnel and using county equipment. Senior citizens ride for free and the lottery fund pays 75 percent of the total operating costs. The county is responsible for the balance of operating costs. A fare structure may be established for general public riders, if the county desires.

Section 406 required that counties become directly involved in the planning process for demand responsive services. It required that an integrated transportation network be developed, and that the services not compete with existing forms of transportation. In addition, as mentioned above, Allegheny and Philadelphia Counties were specifically excluded from the provisions of Section 406. This was in order to emphasize the desire that the more rural counties develop shared-ride systems.

Program Details

Allegheny and Philadelphia Counties were not excluded from the program altogether, however. The other part of Act 101 that relates to demand responsive transportation is Section 203, and providers in Allegheny and Philadelphia Counties were eligible for Section 203 immediately, whereas providers in Pennsylvania's other 65 counties had to wait until July 1, 1982 to become eligible.

The use of the term "providers" indiates a major difference between Section 203 and 406. Whereas Section 406 is a county entitlement program, under Section 203 any eligible provider can apply directly for a grant. Eligible providers are defined to be any one of the following:

1. Any private carrier certified by the Pennsylvania Public Utility Commission to provide shared-ride or paratransit service.

2. Any County or local government.

3. Private non-profit corporations which are "substantially under county control"; this means that the county commissioners approve all fares and services and any changes to either.

4. Public Transit Authorities which provide shared-ride service.

Grants under Section 203 could be made to a variety of providers, in other words. In addition, there was no requirement in Section 203 that service provision be coordinated. As the two programs got going, this was to become a significant issue.

Program Development

Since guidelines on Section 406 were developed first, that portion of the program got started first. It quickly became evident that there was great potential and a great necessity for flexibility in the program. The Department of Transportation in its administration of the program developed program guidelines which emphasized three basic requirements:

1. The service had to be demand-responsive.
2. Reimbursement was for Senior Citizens age 65 and above only.
3. The service had to be open to the general public.

Many counties began by using a part of their entitlement for planning purposes, and to date over half of the 65 eligible counties have done some planning, with nearly $500,000 committed Statewide for that purpose.

Since the law said nothing about who was responsible for the planning effort, each county was free to draw upon whoever was capable of performing the work. A great many counties hired consultants who were experienced with transit planning; other counties did the work through their transit authorities and planning commissions. Other counties did no planning at all. They have systems in plae wich already meet the eligibility criteria. They began using their entitlement monies for improvements, expansion and service provision.

Counties have used the largest portion of their entitlement funds for capital and startup costs. Once counties had developed and submitted an acceptable plan, they were free to purchase goods and equipment which were to be used toward meeting the requirements for service as set forth in the plan. As long as the kind of service to be provided was eligible for funding, any capital and startup costs associated with its development, improvement or expansion was fundable at 100 percent through Section 406.

The operational part of the program has been most challenging, both during the early phases of the program and on a continuing basis. The requirement that local transportation services had to be coordinated led to some interesting and troublesome developments in several counties. With variables such as the history of trnasportation in the county, and the working relationships betwen the county commissioners, the social service agneices and any private and public carriers, every county's system developed in a unique way.

Since the law did not prescribe a lot of detail about how systems were to be organized, who should run them and who was to be in charge, those questions had to be answered in the local planning process. On numerous occasions, the Department of Transportation program administrators were asked to referee local disputes of various kinds, but took the position that it was not an appropriate role. The Department took the position that all eligible providers had to be given the opportunity to participate and in some instances had to insist that some agencies or private providers who were being excluded be given that opportunity. The degree of participation and the overall structure of the system however, was ultimately a local decision. Since it is a county entitlement program, the final decision on the structure of the system ultimately rests with the county commissioners.

As a result, every county's demand responsive system has developed in a slightly different fashion from every other county's. A sample of the differing setups include:

1. Service operated directly by the county in county owned and operated vehicles. These are usually run through a designated lead agency, such as an Area Agency on Aging, a Community Action Agency, or a county transportation office.
2. Service contracted to private carriers (bus and taxi companies).
3. Service provided by public carriers (transit authorities).
4. Services provided by private and pubic nonprofit corporations (such as Community Action Agencies, YMCA).
5. Services provided by social service agencies (Area Agencies on Aging), but open to the general public.
6. Services provided by various combinations of the aforementioned provider types.

Except for a very few instances, all these services, including those operated by social service agencies, were open to the general public and charged a fare. As might be expected, there was a good deal of initial reluctance, particularly among many social service agencies, to opening the service to the general public. The fear was expressed that general public ridership might clog the social service delivery system and make agencies' service to their respective clients more difficult. However, since only senior citizens were to receive discounted fare and the general public had to pay full fare for their trips, the Department of Transportation was fairly certain that a large percentage of general public ridership was extremely unlikely. In spite of the fact that more general public ridership would be desirable, it has not yet materilized to any substantial degree. Vehicles crowded with businessmen and students with agency clients left behind, has provien to be a theoretical rather than an actual problem.

Considering the historical difficulties in getting social service agencies to participate in coordinated transportation efforts, it is worth emphasizing that the carrot in Pennsylvania's demand response program is the 75 percent reimbursement for senior citizen trips. Most senior citizen transportation in Pennsylvania is provided by local or regional Area Agencies on Aging, which generally have the largest and most sophisticated of the social service transportation systems, particularly in rural areas. Their concerns for their clients notwithstanding, the obvious advantage of having clients age 65 and above transported at only 25 percent of the former cost attracted aging services directors and county commissioners. The law expanded service not only be making each local dollar stretch nearly four times as far, but also by stipulating that the service had to be available to all senior citizens. This had the effect of eliminating income and other restrictions (such as car ownership) which made some senior citizens ineligible for transportation services in some places.

The Maintenance of Effort Issue

Because of the obvious financial incentives for aging services participation in the Section 406 Program, there was a fear in the Department of Transportation that agencies would use the program to transfer the burden of funding senior citizen transportation from their own budgets to the Section 406 Program. Agencies, it was believed, would continue to provide the same levels of transportation as before, and steer their 75 percent savings into other aging programs that were being squeezed by tighter budgets and increasing demand. The Section 406 Program would then ironically become one which subsidized other aging services rather than transportation. As a result of these concerns, the Department developed what was called a Maintenance of Effort requirement. Social service agencies who were providing transportation to aging clients before their participation in the Section 406 Program were required, as a condition of participation, to dedicate an equal percentage of their total budget to transportation after their entry into the 406 Program.

Almost immediately, however, a movement was begun to have the requirement eliminated or modified. Area Agencies on Aging claimed that the requirement handcuffed them in their efforts to allocate diminishing resources efficiently. They also tended to think that the rule interferred with an agency director's control of his own resources. While the issue was being discussd, however, the requirement was enforced.

The advent of the Section 203 Program necessitated a reappraisal of the requirement, however. Since Section 406 is a county entitlement program for which the county commissioners were the applicants, and since most local aging programs were to some degree under county control (either directly by virtue of being county agencies, or indirectly by virtue of receiving county money for local match requirements and other needs), some direct enforcement leverage was possible: county commissioners would have the responsibility of seeing that the requirement was met through their contract with the Commonwealth. Such was not necessarily the case under Section 203. Under Section 203, any eligible provider could apply directly for a grant, so there was not necessarily any direct relationship between social service agencies funding transportation services for their aging clients and the providers of those services. Under Section 203, a taxi company could be providing services for an Area Agency on Aging, but would have no right or power to enforce a maintenance of effort requirement on the agency. Moreover, since the reimbursement is paid directly to the contractee (in this case, the taxi company), there would be no way to recover grant monies from an agency that did not meet their maintenance of effort requirement, since they had not been given away. This practical difficulty, plus the assurances of the Department of Aging that federal regulations required AAA's to continue to provide funding for client transportation, led the Department of Transportation to drop the Maintenance of Effort requirement in July, 1982.

Relations with the PUC

The participation of private carriers in the Section 406 and 203 programs also necessitated a new working relationship between the Department of Transportation and the Pennsylvania Public Utility Commission. Transportation for hire in Pennsylvania is regulated by the PUC, and providers must obtain a tariff which specifies their rates, service territory and the kind of service to be provided.

Shared-ride demand responsive service was being provided by private carriers with PUC certification before the Section 406 and 203 programs originated. However, there is no precise definition of this kind of service in PUC law. The operating rights issued were variously titled: paratransit; non-exclusive call and demand; special operations. But they are defined negatively: shared-ride demand responsive services are anything that is not exclusive call and demand, group and party, or scheduled fixed route service.

The category came into being chiefly as a response to the desire of private carriers to provide service to social service agencies. At the advent of the Section 406 program, the PUC had a file of about 40 carriers who were providing shared-ride demand responsive services.

If these carriers and any others who wanted to participate in the program had been able to do so with the existing tariff format, things would have been much simpler. But there was a catch: most of the tariffs in existence had been developed to facilitate the movement of groups of individuals to and from social service agencies, and rates had been established almost exclusively on an hourly or a per mile basis. The wording of Section 406 and Section 203, however, is very specific. It says that each senior citizen must pay 25 cents or 25 percent of the regular adult fare (whichever is greater) for being transported on shared-ride demand responsive services. It was clear that in order to be eligible for the program, providers had to establish a fare structure on a per person basis.

Some early meetings with the PUC on coordinating the program seemed to create more misunderstandings than they resolved. The PUC's initial reaction to the Department's informing potential participants that they had to have a per person fare structure was that we were usurping the PUC's regulatory responsibilities. Some members of the PUC staff questioned the legality of private carrier participation, since the PUC law had not been amended to bring it into conformity with Sections 406 and 203.

The Department of Transportation's response to these objections was that there was nothing in the program that was specifically inconsistent with PUC regulatory perogatives, including the approval of per person tariffs. Such tariffs were legal even before the Section 203 program existed, and a few carriers already had them. In addition, participation in the Section 203 program is voluntary, so tariff changes are not being forced upon carriers. It is still the PUC's job to approve tariffs. However, if rates are not expressed on a per person basis, the provider does not qualify for the program.

As the program has continued to evolve, relations between the Department of Transportation and the PUC have improved a great deal. There is much more mutual under standings about the requirements of the program as mandated by the law. Good communications have been established between PUC and Department of Transportation staff members.

Ridership and Age Verification

Along with having the right kind of tariff and providing the right kind of service, providers under both programs have been given the responsibility of developing age and trip verification methodologies. Since fare subsidies are only for those individuals age 65 and above, providers had to develop methods for assuring the Department of Transportation that each individual for whom reimbursement is being requested is at least 65 years of age, and that the person actually made the trip. This has been the most difficult part of administering the program.

Because of the diversity of program participants, no attempt has been made to establish a uniform age and trip verification methodology. Each provider has been required to develop its own, and approval of the proposed methodologies is a prerequisite for approval of their grants. Although providers had some initial difficulties in establishing acceptable procedures, that has become much less of a problem as the program, and information about it, has spread. Many new applications are using the same methodologies and forms which previously successful applicants have developed. Acceptable forms of age verification include:

1. Drivers Licenses.

2. Pennsylvania Free and Reduced Fare Transit ID Cards.

3. Birth Certificates or Baptismal Certificates.

4. ID Cards issued by the provider.

Trip verification methods vary also. The provider needs to demonstrate that a paper trail exists that can be audited. Systems where the passenger signs a trip receipt or pays for the trip in scrip are recommended as ideal for trip verification purposes.

Impact of the Program

The first service using Section 406 funds began operation in June 1981. In the two and a half years that have passed since then, demand responsive transportation service in Pennsylvania have expanded and flourished. During the 1981-82 fiscal year, service was provided under Section 406, since Section 203 did not go into effect statewide until July 1, 1982. Beginning with the 1982 fiscal year, most providers began operating under, or switched their operations to, Section 203. Counties eligible for both sources of funds wished to conserve

their remaining Section 406 funds for future capital purchases and service changes. As a result, ridership under Section 406 has remained quite low, with less than half a million rides provided in the 1981-82 fiscal year, and about 380,000 in 1982-83 as the Section 203 program began.

Ridership under Section 203 has experienced an explosive growth. The first Section 203 grant was approved in June 1982, so from only 407 trips in 1981-82, the number of rides increased to 1,955,000 in 1982-83 and is already over 1,600,000 for the first six months of 1983-84. (Table 3). Of those nearly 3.6 million trips to date, about 2.8 million have been lottery-fund subsidized trips taken by senior citizens age 65 and above. Complete figures for the 1982-83 fiscal year show that the average senior citizen trip cost $4.45, of which $3.33 was paid for with State Lottery funds.

Many of the trips provided to senior citizens under the lottery program are not really new trips, but are trips that would have been taken under the preexisting social service and public transportation networks. Nevertheless, the Section 406 and Section 203 programs have dramatically increased the overall availability of transportation in Pennsylvania, not only for senior citizens, but for the general public as well.

1. Many Social Service agencies providing transportation to the elderly have been able to expand the scope of their services immensely, since their transportation budgets now buy many more trips. Many agency directors have been able to liberalize restrictions on trip purposes and extend their service into more rural areas.

2. Rural transportation services have expanded the most dramatically. The major cripplers of rural transportation services: inadequate funding and high service costs, have both been remedied by the Lottery program. Transportation services can be priced at the cost of service and still generate significant ridership because of the 75 percent lottery reimbursement for senior citizen riders.

3. The Sections 406 and 203 programs have created rural trnasportation services available to the general public in many areas where no such services existed at all. Most rural service in Pennsylvania was formerly provided by social service agencies and was restricted to agency clientele. By law, program participants were required to open these services to the general public. Although the per trip cost is often quite high and general public riders are unsubsidized, the services now do exist and are available as needed to everyone.

4. The programs have been of great benefit to private and public carriers who are eligible to participate. About half the program participants are taxi and paratransit companies and transit authorities, and they have collectively seen a substantial increase in their senior citizen ridership and total revenues.

The services provided under the Section 406 and 203 programs is still in a stage of rapid growth and it is difficult to predict at this time where that growth will level out. In 1982-83 about 50 providers participated in the program for at least part of the year. In 1983-84 that number has risen to nearly 70 and is expected to go still higher. While some providers who have been in the program for a couple of years have seen their ridership stabilize, the newer ones are still experiencing a lot of growth as news of the program penetrates their service areas.

The good news about this kind of growth is that it is not rising toward a financial ceiling which will eventually curb further growth or even cause reductions in service as service costs increase or funds are cut. As long as the State Lottery Fund continues to be healthy (and to date it has been very healthy, with a current surplus of well over $200 million) there will be no ceilings on the availability of funds for demand responsive transportation in Pennsylvania.

SUMMARY OF
APPLICATIONS AND APPROVALS FOR
SECTION 406 FUNDS

TYPE	NO.	APPROVED	$ REQUESTED	$ APPROVED
PLANNING	42	42	$ 567,481.00	$ 567,481.00
NEW/EXPANDED (Capital Funds)	76	73	5,274,422.00	4,198,707.67
REVENUE REPLACE	39	39	1,393,992.00	1,393,992.00
CTS (County Transportation Systems)	16	16	507,346.91	507,346.91
TOTALS	173	170	$7,743,242.58	$6,667,527.58

NUMBER OF COUNTIES APPLYING: 61

DATE: March 31, 1984

Table 1

SECTION 203 SUMMARY

1983-84

TOTAL APPLICANTS:	78
TOTAL CONTRACTS APPROVED:	85
APPLICATIONS PENDING:	12

TOTAL FUNDS APPLIED FOR:	$15,448,727.00
TOTAL FUNDS APPROVED:	12,577,110.00
TOTAL PAYMENTS MADE (83-84):	7,232,819.16
TOTAL PAYMENTS MADE (82-83):	4,529,479.65

DATE: March 31, 1984

Table 2

RIDERSHIP SUMMARY

SHARED-RIDE DEMAND RESPONSIVE TRANSPORTATION

Fiscal Year		Senior(1) Citizens	General Public	Justified(2) Payments	Average Cost/(3) Senior Citizen Trip
	(203)	407	-0-	$ 4,657.69	$15.259
1981-82					
	(406)	333,813	143,839	726,812.57	2.903
	TOTAL	334,220	143,839	$ 731,470.26	$ 2.919
	(203)	1,244,718	323,693	4,529,479.85	4.852
1982-83					
	(406)	259,737	123,721	490,069.34	2.516
	TOTAL	1,504,455	447,414	5,019,549.19	$ 4.448
	(203)	1,186,862	416,047	4,644,346.97	$ 5.217
1983-84(4)					
	(406)	60,544	46,591	149,979.72	3.302
	TOTAL	1,247,406	462,638	4,794,326.69	$ 5.125

(1) Age 65 and above.

(2) Justified payments are up to 75 percent of full fare for each senior citizen age 65 and above transported.

(3) Justified payments represent about 75 percent of the cost of the senior citizens' trips; this column represents the average total cost of a senior citizen trip.

(4) 1983-84 numbers are for July through December only.

Table 3

AREA 12 COUNCIL ON AGING TRANSPORTATION PROGRAM

Submitted by:

Craig E. Beckley, Area 12 Council on Aging, Dillsboro, Indiana

HISTORY

Area 12 Council on Aging is the designated Area Agency for five counties in southeastern Indiana bordered on the east by Cincinnati and the south by the Ohio River.

Area 12 runs one of the most successful transportation programs in the state of Indiana, and we will first describe the history of this program and then explain how the current policies make this a program that is paying for itself.

Originally there were county providers, which means each county had its own vehicles and its own non-profit corporation that was responsible for the maintenance and use of those vehicles. This is typical of many Area Agencies that get into the transportation field. As they grant the money out to the providers, it covers a very small area and therefore is not profitable.

Around 1981, we decided to go to an area wide provider, which means there would be one provider for the five counties. This we felt was a move necessitated by the inefficiency of the county providers to properly report their units of service, to properly maintain their vehicles and to properly expend the funding that had been granted them.

As the area wide service grew, we continued to have county dispatchers that would dispatch the vehicles, still assigned in the counties, from senior centers. Again, although this was more efficient than the county providers, because there was a better administrative base to use the vehicles and to maintain them, it was not as efficient as our present system. With each county having only a set number of vehicles with which to function, if a trip were being taken to a city that was an hour or more distance, it pretty much negated any other service being provided in that county on that particular day.

Then in 1982, the decision was made to install an 800 number that would cover the entire area served and through this 800 number, a central dispatching office was established in the administrative offices. Through this dispatcher, the vehicles are now assigned runs on a daily basis to most efficiently use all vehicles. Although the common transportation cars are still assigned on a county basis, there is no problem with crossing county lines in order to complete a run or make a run more efficient. With the use of area wide dispatching, maintenance is simplified because while the vehicle is being maintained, another vehicle from the same county or an adjacent county can cover those runs, thereby providing for the client a consistant transportation program that is not hindered by vehicle breakdown.

With each of these steps and changes came the expected hesitance on the part of the client to use the new expanded services. However, once the clients became accustomed to the 800 number, and once it became obvious that service was both more effective and more efficient, hesitance to use it disappeared and it has proven its efficiency.

FUNDING

This program is funded through a number of funding sources which help supplement one another in creating a total funding package that meets the needs of the program, in excess.

One of the major funding sources is through Title III-B funds of the Older Americans Act. These funds allow us to transport people over 60 years of age and older on merely a donation basis. Also we have Older Hoosier funds which are a funding source supplied by the state of Indiana, and we raise local match in the form of asking townships, cities, and county governments to contribute to our programs.

Donations are an important form of income. We also receive funding from the Social Services Block Grant which allows us to provide group transportation to the meal sites.

Probably the largest and most important form of income is Medicaid reimbursement Currently, Medicaid reimbursement makes up half of our funding and it is with this money that we are able to purchase new vehicles and make up for any other lack in federal, state, or local funding that may exist. We will explain later the process by which money can be obtained from Medicaid, for providing transportation to all age groups.

A major problem that is confronted by many agencies, is the problem of acquiring the necessary vehicles in order to run the service. Currently, we have a fleet of 21 vehicles. These range from 15 passenger Dodge and Ford vans to smaller 12 passenger Ford vans. In automobiles, we have Ford station wagons all the way down to a small K-car.

It is often asked, "How do you get started?", "Where can we get vehicles?" There are a number of sources of vehicles that agencies can take advantage of to keep from paying full cost on the purchase price of the vehicles. There are funds available through Urban Mass Transit Authority (UMTA) Section 16(b)2 that allows us to purchase full size vehicles for 1/5 of the total cost. Often the decision on what model of vehicle is decided upon by someone other than the provider,

as the state must apply and combine the vehicles that we get with the state purchase of vehicles through UMTA. Therefore, it is not always the most fuel efficient vehicles that are acquired. But when you compare the cost of the initial purchase of the vehicle versus the cost of running the vehicle that get poor mileage, it is always more efficient to drive a poor mileage car if you can get a tremendous amount of the purchase price reduced.

Another source of automobiles, is to buy year old vehicles through car rental companies. Hertz, Avis, Budget, National, just to mention a few, have a regular program of selling these vehicles that have anywhere from 15-20,000 miles on them for a great reduction in price. Often the price will be further reduced if the parent company is notified of the use of the vehicles for non-profit purposes.

Another source of vehicles is through local automobile dealerships who will supply cars on an annual basis for some kind of free advertising, much as they do for Driver Education cars. Generally, this only concerns the larger dealerships who require that you maintain your cars with them, but then take the automobile back after a year at no xost to the agency.

EXPENSES

On the other side of the page, we have our expenses. (See appendix A.) We currently run on a budget of $239,023. Of that budget, 42% is spent on personnel and fringe. This pays our drivers which are paid at the starting wage of $3.55 an hour which can advance up to $3.69 an hour. It also covers their social security, fringe, vacation and so forth.

Our second largest expenditure for this year will be for equipment. This equipment cost will be spent to purchase four Plymouth Caravans, which are the small mini-van built by Chrysler, three 15 passenger vans, which we will be getting through 16(b)2 funding and three four door passenger sedans which we will also be getting through 16(b)2 funding. All in all, we will be the recipients of 10 vehicles for a little over $56,000.

The third largest expenditure is for program travel and this basically covers the cost of gasoline and parking receipts when we have to park in a major city . Other than that, most other costs run between 1 and 4%.

RESOURCES

Resources, when taken on a percentage basis, identify the largest funding source as Medicaid which provides 42% of the income for the program. Our second

largest source at 20% would be Title III-B of the Older Americans Act, which mandates that we serve only people over 60 years of age.

Notice at the bottom of the page (see appendix A) we have car sales at 3% providing $6,000 in income, however, we will be selling 7 vehicles by the end of the year so their anticipated income should be well above the $6,000 mark and will provide excess funds in this program.

In the management of funds we are attempting to purchase vehicles on a 3 year plan so that all vehicles will be replaced every 3 years, one third of the fleet per year. This is done through the proper management of the Medicaid funds and hopefully through the reception of UMTA 16(b)2 grants to continue to replace vehicles. As can be imagined, newer vehicles are much less expensive to maintain. The chance of breakdown is much less and they provide us with the latest technology and fuel efficiency.

We are currently in the process of developing a fund into which we can place excess monies to be used in future years for continuing vehicle purchases.

VEHICLE REPLACEMENT

As you can see by looking at appendix B, from our three year plan, we will need a total of $33,600 to purchase all of the vehicles needed in 1984. This is assuming that we can sell 9 vehicles for $24,000 which would give us a sale price of a little over $2500 per vehicle, and we are able to purchase 10 vehicles for $57,600.

Next year, 1985, we will be selling 5 vehicles for an expected income of $13,800 and we will be purchasing 5 vehicles for an expected expenditure of $64,000. Which means we will need to budget $50,200 for the purchase of those vehicles. However, if we are able to buy any of these vehicles with the 16(b)2 grants, that would greatly reduce the dollars needed in the purchase of vehicles next year. In 1986, we will be purchasing 4 vehicles for $54,000 provided that none of them are purchased through 16(b)2 funding, and we will be selling 4 vehicles for $6,600 for an estimated budget amount of $46,400.

These budget amounts, when compared with our total budget are easily attainable, and will provide, by 1986, that all vehicles will be three years old or newer. The only vehicle that we will retain is a Dodge 600 from the 1983 model year, which then would be sold in 1987 along with other vehicles that had reached a predetermined mileage amount.

VEHICLE TYPES

A few words might be added at this point to describe the types of vehicles we have found to work best in our programs. Although we have purchased some small 12 passenger vans, we at this point feel that that was ill advised. We have found that the purchase price between the 12 and 15 passenger van is very small compared to the usefulness of the larger van. Since the frontal area of both vans is identical, and the only thing that changes when you go to a larger van would be an additional metal on the back of the van to create a shell for the last seat, your fuel efficiency drop is almost negligible, however, the advantage of being able to carry 3 or 4 more passengers instead of running a second van or vehicle is a handy addition. In the purchase of sedans for a common transportation program, great attention is made in selecting vehicles that have a large rear seat. This is a problem as american cars are downsized more and more.

A very important consideration is to measure the distance between the front corner of the back seat and the front edge of the rear door. The larger the space in this area, the easier it is for elderly to swing their feet in and out of the door. Regardless of the fact that the backseat may be large, if it is not open to easy access, you have created a headache for yourself and your clients.

Also, as might be added, vinyl seats are a must in this sort of operation because many of the clients that we transport are being transported for cobalt treatments, kidney dialysis, other types of radiation treatment that have a very ill effect on the clients, thereby many do on occasion get sick.

All vehicles are equipped with air conditioning, power steering, power brakes, automatic transmissions, and we are now putting cruise control on all vehicles as a very important cost reducing measure.

DISPATCHING

In scheduling transportation for our clients, we request they call 24 hours ahead of time. When it is at all possible, we will schedule two or more riders in one trip to the same general location, preferably a Non-Medicaid client going with a Medicaid client. This does help the cost of the trip.

If it is not possible to provide transportation for the client at the time requested, the dispatcher will try to reschedule the appointment for a time which is convenient for the client and when transportation is available.

When transportation is denied, a service denial form is filled out with the persons name, address, phone number, service requested, where to, when, and the reason denied. We try to avoid this by rescheduling the appointment.

When the client makes the initial call for transportation, it is very important they let us know each and every place they wish to go. When the driver is contacted for the trip, they are given the destination of the client. Upon arrival at the client's home, if the client should tell the driver that they want to go to several different places beside what is on the trip sheet, the driver does not take them anywhere except the places written on the trip sheet, unless the client has just visited with a doctor and the doctor has given them a prescription to be filled. In this instance, the driver will take them to the drug store.

Calls are given to the driver the day before the scheduled run when possible. If the runs are for later in the morning or in the afternoon, calls can be made the day of the trip. If the run is an early morning run, and the driver cannot be contacted by the dispatcher at the end of the work day, the dispatcher then takes the trip home and contacts the driver at their home.

When last minute transportation is requested by a client, and all drivers are on the road, the dispatcher calls for the driver at their next scheduled pick-up and requests they call the office. When this is done, the trip is given to them.

Every effort is made to require the clients to be responsible for calling at least 24 hours in advance. This gives us the time necessary to reschedule the appointments that are necessary to run an efficient operation. The dispatcher does the rescheduling, with the client's permission, and then notifies the client of any changes.

MAINTENANCE

All vehicles are put on a regular maintenance basis of 5,000 miles between oil changes with a filter change at every oil change and a tune-up every 15,000 miles with a change in all filters at that time, also front wheel alignment.

Maintenance is scheduled from the office based on the vehicle log reports that come in on a timely basis from each vehicle. There is a daily safety check on all vehicles that includes a check of all lights, horn, and oil. And a weekly check preformed by the driver responsible for the vehicle of all vehicle fluids, and functional parts of the vehicle, battery, tires, and so forth. Quarterly, the

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We have found Doctors very easy to work with in this rescheduling process, having built a rapport with the Doctor's offices. Same day rescheduling has become a very simple process and is vital to our efficiency. Doctors do co-operate and clients don't really mind, as long as they don't feel forgotten in the process and are notified immediately of any changes.

A detailed description of this dispatching process is found in appendix C.

MAINTENANCE

All vehicles are put on a regular maintenance basis of 5,000 miles between oil changes with a filter change at every oil change and a tune-up every 15,000 miles with a change in all filters at that time, also front wheel alignment.

Maintenance is scheduled from the office based on the vehicle log reports that come in on a timely basis from each vehicle. There is a daily safety check on all vehicles that includes a check of all lights, horn, and oil. And a weekly check preformed by the driver responsible for the vehicle of all vehicle fluids, and functional parts of the vehicle, battery, tires, and so forth. Quarterly, the vehicles are checked by administrative personnel and a record is kept of tread depth, feel of the brakes, any surface blemish on the vehicle and all safety related functions. Twice a year a 21 point check is conducted on the vehicle, usually by an independent service station to try to catch any problems that might have been overlooked by the office staff or driver. (See appendix D for check lists.)

We have found because of the ruralness of our area, that it is much better to allow the drivers to keep the vehicles at their homes. The vehicles stay cleaner and this has greatly reduced the incidence of vandalism. Each driver is required to keep their car clean and arrangements for maintenance are made by the dispatcher. We have saved a great deal of money by buying our oil in bulk cases and we purchase most tires now through different discount houses and the tires are shipped to us through the mail. In attempts to save money on tires, we have found that the purchase of off brand tires generally is not efficient. We have also found that it is not very economical to buy what are being termed "all weather tires" because the rubber tread is a softer compound in order to produce more traction when it is wet. However, this compound wears much more quickly and the life of the tire is greatly reduced.

SERVICES

We provide two different transportation services the first being group transportation. This has to do with the transportation of individuals, usually in a van, to the meal sites, on shopping trips, and on an occasional special trip to the state fair or some other function. There have been occasions when a group will go, as a van load, to Pizza House in the city or to a show. Individuals taking these trips are asked to donate, generally based on the length of the trip. When a special trip has been planned, a suggested donation amount is given to the driver based on the individual's income. For example, a trip to Louisville for someone who has an income of more than $500 a month might have a suggested rate of $20. Another individual with an income of $350 a month might have a suggested rate of $10. For an individual with an income of $200 or less, there would be no suggested income donation. These of course vary by trip and are issued when the driver or meal site manager requests the initial trip.

The second type of transportation is what we term our common transportation. This being funded mostly by Older Americans Act funds and Medicaid, is a scheduled, on call trip where the client is taken to the doctors office, perhaps to the hospital, shopping for groceries, or any other function that generally can not be included in a group trip because of the personal nature or the personal need. These also are ran on a donation basis. In front of each car, is a placard that lists possible locations for that vehicle. Along with those locations, are two or three income classifications and each location has listed a suggested donation amount for each income class. All donations in these programs are taken by putting the donations in a sealed container that is only opened in the presence of two people. Therefore, all donations are annonymous, and under no circumstances is a donation required for these trips. The only requirement being for these two types of trips is that the individual be 60 years or older.

An addition to this type of service, and one that we have developed over the last few years is to provide medical transportation for Medicaid recipients. These recipients can be under or over 60. Under these circumstances, we transport anyone who is of any age for whom we can receive prior approval from the local welfare office. These trips must be approved in advance and we are reimbursed for these trips at the current rate of $1.25 per mile and $10.00 per hour waiting time. The second person, when approved by Medicaid may ride in the car for half that amount, or 72½¢ per mile. This is a tremendous source of funding and supplies the needed capital for vehicle maintenance and replacement. It is only with prior approval that we can transport anyone who is under the age of 60. It is required by our state Medicaid that anyone who would like to receive a ride from us who is under 60 must pay at the current Medicaid rate if they are not covered by Medicaid.

This type of transportation is profitable especially when it involves individuals who need repetitive trips. For example: cobalt treatment, which is two or three times a week; sometimes kidney dialysis, which means a trip every day generally to a major city of some distance. Later we will explain the entire Medicaid system and how we function in order to receive proper reimbursement from the state.

Our newest service is with one of our counties' welfare offices who is currently running a pilot program for family reunification. This program seeks to bring families who have been torn by divorce, by adolescent problems, or by some other disaster that has taken place in the family unit, in an effort to bring the families back together and solve some problems. This currently will be up to a $30,000 grant that will be reimbursed on the same rate as Medicaid. And of course with the area wide dispatching, we are positive that we will be able to meet any needs that may come up in this program.

APPENDIX

Budget..... A
Three Year Plan..... B
Dispatching Procedure..... C
Vehicle Check Lists..... D

BUDGET

EXPENSES:

Personnel & Fringe	42%
Utilities	1%
Rent	1%
Telephone & Postage	2%
Contracts/Audit	1%
Contracts/Other	1%
Supplies	1%
Equipment	24%
Travel/Staff	1%
Travel/Program	13%
Other/Vehicle Maintenance	4%
Other/Physicals	1%
Administration	8%

RESOURCES:

Title III-B	20%
Older Hoosier	1%
Local Match	6%
Project Income	2%
JTPA	-
Medicaid	42%
Nutrition Project Income	16%
Social Services Block Grant	3%
Project Income	1%
16(b)2	7%
Car Sales	3%

In an effort to plan and budget a three year expenditure for vehicle replacement the following program is presented. All costs are estimates except 1984 purchases of 16(b)2 vehicles based on July 1984 projected costs and incomes. Projected costs of vehicles is $185,600 which would be reduced if 16(b)2 vehicles are secured in 1985 and 1986. Projected income from sale of vehicles is $45,400 with a total dollar amount needed over three years of $140,200, again possibly reduced by 16(b)2 vehicle grants in 1985 and 1986.

THREE YEAR PLAN

84-85-86

1984

	PURCHASE	COST	SELL	ESTIMATED INCOME	
4	'85 Mini Vans	45,000	Hanover Van	1,500	
3	'85 Sedans 16(b)2	4,800	'78 Ford Van	3,500	
3	'85 Vans 16(b)2	7,800	'78 Phoenix	1,500	
			'78 Impalla	2,000	
			'78 Lemans Wagon	2,000	
			'79 Lemans Wagon	2,500	
			'79 Impalla	2,500	
			'81 Impalla	4,500	
			'82 Reliant	4,000	
10 Vehicles		57,600	9 Vehicles	24,000	Totals
			Dollars needed	33,600	

1985

2	'86 Mini Vans	22,000	'82 Ford 16(b)2	1,000	
3	'86 Vans	42,000	'81 Cutlass	3,800	
			'78 Ford Vans (3)	9,000	
5 Vehicles		64,000	5 Vehicles	13,800	Totals
			Dollars needed	50,200	

1986

2	'87 Mini Vans	24,000	'82 Ford 16(b)2 (2)	1,600	
2	'87 Vans	30,000	'82 Dodge Vans (2)	6,000	
4 Vehicles		54,000	4 Vehicles	7,600	Totals
			Dollars needed	46,400	

DISPATCHING PROCEEDURE

The Medicaid process is as follows: The caller requests service, the dispatcher then determines which category the caller is in; Age 60 Non-Medicaid, Medicaid age 60 or under, under 60 Non-Medicaid.

If the caller is age 60 Non-Medicaid, the dispatcher goes to the card file to determine whether this person has been transported by us before. If not, the dispatcher takes their name, address, date of birth, telephone number, and directions to their home. This information is then recorded in the trip log and assigned to a driver. In assigning this trip to the driver, it is recorded on a Non-Medicaid trip sheet which is green in color. If the client is under 60 Non-Medicaid, service is offered on space available basis, with the understanding that they will be charged at the current Medicaid rate and payment is in advance. If the client decides they still wish to go with us, the dispatcher records this in the trip log assigned to the driver. This information also goes on a Non-Medicaid trip sheet.

If the client is Medicaid age 60 or under, again the dispatcher goes to the card file to determine whether the person is Medicaid. Medicaid clients are placed on yellow index cards. This distinguishes them from our Non-Medicaid clients. The dispatcher enters the client's name, hospital and/or doctor they're seeing, and the service date in the Medicaid log. The local welfare office is then called to obtain prior verbal approval.

If the client is over 60 and the dispatcher cannot receive verbal approval from the welfare department, we will transport the client because they are over 60.

If under 60 and not approved, we will still offer service on a space available basis, and payment in advance at the current Medicaid rate. Once verbal approval has been received from the welfare office, this is then recorded on the Medicaid log. The name of the staff person giving the approval is written in the log along with the dispatcher's initials. From there it is assigned to a driver on a Medicaid sheet which is yellow.

When the driver picks the client up, he checks the date on the Medicaid card to verify whether it is current or not. If the card is current, service is provided and the Medicaid number is entered on the Medicaid trip sheet. If the card is not current, and the client is under 60, we offer them transportation on cash advance basis. If the client agrees to this, the client pays, service is provided, the trip is recorded on a Non-Medicaid trip sheet. The amount paid is written on the sheet and is deposited as project income. If the client does not wish to pay in advance, service is denied, and recorded on a service denial form.

After the trips are completed, the driver then returns the trip sheets to the dispatcher. Several days later, or several months later the written authorization is received from the welfare department. This is then recorded on the Medicaid log.

The authorization trip codes are then checked against the trip sheet. If the trip codes do not match the trip sheets, the local welfare office is then notified for correction. This is usually done over the telephone. The dispatcher receives the okay from them to change it on the authorization. After this has been done, the authorization then matches the trip sheet, the claim voucher is typed andsigned. A copy of the written authorization is always attached to the claim voucher and mailed to the claims department at the state Medicaid office. The date mailed and the amount billed are recorded in the Medicaid log. A copy of the claim voucher and the written authorization are then placed in the unpaid file.

Each week an explanation of the claims payment print out is received from the state Medicaid office. This is reviewed, and if the explanation of payment has pended the claim, the claim is marked as such and kept in the unpaid file. If the claim has been paid, it is removed from the unpaid file and recorded on the Medicaid log, the date paid, and the amount paid is also written on the voucher. This is then filed in the claims paid file.

If the claim has been denied, check the denial code for the reasons denied. The claim is then corrected and resubmitted. This in turn is recorded on the Medicaid log.

If the claim is denied after resubmitting, and you may submit the claim many times in one year, or if it has been a year since the service date, all documents are then placed in an inquiry file. The claim is recorded on the inquiry log, service date, denial code, date claim was refiled, the amount billed and the date mailed. An inquiry letter is included with this and mailed to the inquiry department of the state Medicaid office.

If the inquiry has been approved, it is recorded on the inquiry log and the Medicaid log and then placed in the paid file. The claim is then closed.

If the inquiry claim is denied, the denial codes are recorded in the inquiry log. If you feel that the claim was denied for unjust cause, resubmit another inquiry. If denied again, the claim is then closed out.

DAILY
VEHICLE CHECK LIST

	START	END
HEADLIGHTS	Y N	Y N
TURN SIGNALS	Y N	Y N
FLASHER SIGNALS	Y N	Y N
GAUGES	Y N	Y N
HORN	Y N	Y N
MIRRORS	Y N	Y N
WIPER/WASHER	Y N	Y N
GLASS/LATCHES	Y N	Y N
AIR CONDITIONING	Y N	Y N
2 WAY RADIO	Y N	Y N
HEATERS	Y N	Y N
SEAT BELTS	Y N	Y N
TIRES		Y N
LIFT		Y N
COOLANT LEVEL, HOSE		Y N
BATTERY LEVEL, CONNECTIONS		Y N
WASHER FLUID		Y N
POWER STEERING LEVEL		Y N
ALL BELTS		Y N
OIL LEVEL		Y N
TRANSMISSION LEVEL		Y N
SAFETY EQUIPMENT	Y N	

1) FIRE EXTINGUISHER
2) FLARES OR
3) REFLECTIVE WARNING SIGNS
4) A BLANKET
5) FLASHLIGHT
6) LIST OF EMERGENCY TELEPHONE NUMBERS
7) A FIRST AID KIT INCLUDING: TAPE, GAUZE, STERILE, PADS, COINS FOR EMERGENCY PHONE.

WEEKLY VEHICLE INSPECTION CHECKLIST

VEHICLE _____

DRIVER _____

DATE _____

LIGHTS
BRIGHTS - LEFT Y N RIGHT Y N
DIM - LEFT Y N RIGHT Y N

TURN SIGNALS
FRONT - LEFT Y N REAR LEFT Y N
FRONT - RIGHT Y N REAR RIGHT Y N

FLASHER SIGNALS FRONT Y N REAR Y N

BRAKE LIGHTS RIGHT Y N LEFT Y N

FOOT BRAKES
LOOSE _____
TIGHT _____
STICK _____
UNEQUAL _____
SENSITIVE _____
NOISY _____

EMERGENCY BRAKE PEDAL
LOOSE _____
TIGHT _____

HORN FUNCTIONAL _____ NON-FUNCTIONAL _____

MIRRORS ADJUSTED
REARVIEW _____
DRIVERS SIDE _____
PASSENGERS SIDE _____

WIPER/WASHER

	DRIVERS	PASSENGERS
EXCELLENT	___	_____
GOOD	___	_____
POOR	___	_____

WASHER FUNCTION
DRIVERS Y N
PASSENGERS Y

GLASS NOTE ANY NICKS OR CRACKS AND LOCATION OF WINDOW _____
_____

LATCHES ALL DOOR LOCKS FUNCTIONAL Y N

GAUGES
TEMPERATURE _____
AMMETER _____
ALTERNATOR _____

SEAT BELTS ARRANGED ON SEATS Y N

AIR CONDITIONER
ADEQUATE _____
INADEQUATE _____
NON-FUNCTIONAL _____

HEATERS
ADEQUATE _____
INADEQUATE _____
NON-FUNCTIONAL _____

WEEKLY CHECKLIST CONT'D.

TIRES

PRESSURE

LF _____LBS
RF _____LBS
RR _____LBS
RL _____LBS

WEAR

FR INSIDE _____ OUTSIDE ____
FL INSIDE _____ OUTSIDE ____
ANY OTHER ABNORMALITIES
_____
_____

ENGINE

COOLANT LEVEL — ON THE LINE _____ / BELOW THE LINE ____

BATTERY LEVEL — SEALED BATTERY _____ / CELLS FULL _____ / DATE LOW CELL FILLED __/__/__

WASHER FLUID — FULL _____ HALF _____ EMPTY _____ / DATE FILLED __/__/__

POWER STEERING LEVEL — FULL _____ HALF _____ EMPTY _____ / STEERING LOOSE ____ HARD ____ SHIMMY ____

BELTS — TIGHT _____ SLACK _____ CRACKED Y N

OIL LEVEL — FULL _____ 3/4 _____ 1/2 _____ 1/4 _____ BELOW__

TRANSMISSION LEVEL — FULL _____ 3/4 _____ 1/2 _____ 1/4 _____ BELOW__

ENGINE

RACES ____ NO RUN ___ DIES ___ FUMES ___ HEATS ___ CUTS OUT __

SAFETY EQUIPMENT

1. FIRE EXTINGUISHER CHARGED Y N
2. 3 FLARES Y N
3. 1 RESCUE BLANKET Y N
4. FLASHLIGHT Y N
   ---DIM
   ---BRIGHT
5. EMERGENCY TELEPHONE #'S Y N
6. FIRST AID KIT Y N

OTHER

EXTRA QUART OF OIL Y N
CONTAINER OF WINDSHIELD WASHER Y N

COMMENTS _____

_____

_____

TO INSURE THE SAFE OPERATION OF YOUR VEHICLE, THIS FORM IS TO BE COMPLETED ON A WEEKLY BASIS & SENT TO THE OFFICE EACH FRIDAY EVENING.

THANK YOU.

SEMI-ANNUAL SAFETY INSPECTION

AREA 12 VEHICLES

SITE _____ CAR MAKE _____ LICENSE # _____

	SATISFACTORY	WORK NEEDED
LIGHTS - ALL		
BELTS - ALL		
TIRES		
WINDSHIELD WIPERS		
EXHAUST		
FRONT END - IDLER ARE, JOINTS, ETC.		
REAR END - DIFFERENTIAL		
BATTERY		
FILTERS - GAS, AIR		
HEADLIGHT AIM		
MIRRORS		
HORN		
EMERGENCY FLASHERS		
BRAKES/FRONT & REAR		
ALL FLUIDS		
BODY CONDITION		
DOOR & HOOD LOCKS		
SUSPENSION		
STEARING GEAR		
DRIVE TRAIN		

DATE _____ DEALER _____

BY _____ DRIVER _____

ANY WORK OTHER THAN ROUTINE MAINTENANCE SHOULD BE CALLED TO THE ATTENTION OF BOB STRAHAN OR CRAIG BECKLEY AT 432-5212 BEFORE BEING COMPLETED.

THIS FORM SHOULD BE LEFT IN THE VEHICLE WHEN THE WORK IS COMPLETED OR SENT IN WITH THE STATEMENT. RETURN TO THE AREA 12 OFFICE WHEN COMPLETED.

THIS FORM IS TO BE COMPLETED BY MECHANIC.

OFFICE USE ONLY:

SAFETY EQUIPMENT COMPLETE _____ WAX _____

QUEENS TRANSPORTATION PROJECT:
CENTRALIZED COORDINATION FEATURING LOCAL CONTROL

Submitted by:

Stan L. Pritzker, New York City Department for the Aging, New York, New York

This paper describes the genesis of an organized paratransit system for the elderly who reside in Queens County, one of New York City's five boroughs. It also prescribes the path we wish our project to pursue in the future. The format is divided into four sections: an introduction, the history of our project, the activities we are, have been, and plan, to be engaged in, and finally, a conclusion. Further, our activities are separated into five sub-topics. They are:

1. Identification of problems and collection of data
2. Analysis of data
3. Coordination of existing services
4. Stimulation of new or improved programs
5. Innovation in service delivery

I. INTRODUCTION

Before going into the body of the paper, we want to introduce ourselves as the New York City Department for the Aging. We administer a variety of programs for older adults in New York City which include, Meals on Wheels, Homecare, Entitlement Counseling, Senior Center Congregate Meals, Recreation and Transportation. Most of our programs are contracted out to agencies who provide the services to the clients and are accountable to our agency. Transportation services for seniors are contracted to non-profit 501 C-3 corporations in this manner. Thus, we see our role in the transportation project as providing centralized coordination, while permitting local control by the contractor.

It is vital to realize that Queens county has 388,449 senior citizens, 30% of those over 60 in New York City. Our programs are delivering about five-hundred thousand one-way trips (units of service hereafter) per year. Queens is 109 square miles and its location within New York City can be seen on the map (see App. A (2)). These clients are members of well defined neighborhoods and we feel they can be most effectively served by agencies who understand the local nuances. On the other hand, we wish to share our overall view of the needs in the Borough, as well as our expertise, with these contractors. As a result of this philosophy, the Queens Transportation Project was born.

II. HISTORY

In 1982 Cao O, a graduate student, completed a research paper on Queens paratransit programs for the New York City Department for the Aging. The paper revealed that many areas in Queens were underserved. In addition, there were vehicles which were being underutilized resulting in 'downtime'. Still, another finding was that there was absolutely no control coordination, and transportation was proceeding on a haphazard course. This prompted a serious consideration of the ameliorative strategies we could engage in.

Late in 1982, the New York City Department for the Aging (hereafter referred to as DFTA) and the Queens Borough President decided to establish a Boro-Wide transportation task force, to explore senior needs in Queens. The Task Force, which is still going strong, incorporated both a mass transit and a paratransit subcommittee. Participants of the paratransit task force included representatives from various parts of the Borough who delivered transportation services. One of the impressive aspects of this committee was that its members included not only contractors funded by DFTA, but also providers who had other funding sources. The voluntary sector was also represented. This process vitalized the transportation issue in Queens. It became apparent that some type of central coordination and planning was necessary. Through cooperation by the DFTA, the Queens Borough Presidents Office, and the Queens Trnsportation Task Force, the idea of a Boroughwide coordinator was put into motion, along with a Transportation Project. In October of 1983, the New York City DFTA hired a transportation planner-coordinator to begin to shape Queens Transportation for senior citizens in a rational manner.

The project had a solid foundation to work from. Since the Transportation Task Force was already established, we had political collaboration, access to many agencies with diverse funding sources, and we were beginning to gain some clout within the community through providing technical assistance. Our aim was now to engage in planned activities which would improve our transportation system.

III. ACTIVITIES

Before proceeding to the activity section, it should be noted that many of these tasks are on-going. Therefore, the order in which they appear reflects only a general, temporal sequence.

A. Identification of Problems and Collection of Data

The project began by collecting data gleaned from a questionnaire which was distributed by the Task Force. This gave us a good idea about who

was providing transportation, what type of transportation was being provided, and where it was being provided in the Borough. Next we proceeded to unite all of these providers into a large Borowide meeting. The goal was to meet these providers and introduce them to our project. We wanted to make it clear that our aim was to assist these programs technically and link them together. This event proved very successful and quite a bit of information was disseminated to a large group.

B. Analysis

Next we looked at what type of services were being delivered in each area in Queens. Queens is divided geographically into 14 Community Districts, and we used these as a starting point. It was clear that there was a great deal of transportation being delivered to the elderly, but there were also many gaps. At DFTA, we developed a model of a complete and integrated paratransit system for seniors. The model was composed of 5 components:

1. Minibus or Van Service. This would include specially equipped vehicles, some with hydraulic lifts or ramps. On the average each van would hold 10 - 18 clients, depending on their size and number of wheelchair positions, which reduce seating capacity. This type of transportation would be primarily for group trips to places such as senior centers for congregate meals, shopping for groceries and other items, and for other special events.

2. Intra-Borough Car Service. This is a vendored program for clients requiring individualized trips locally for medical purposes. Due to the individual nature of the medical trips, it does not make sense to send a minibus or van to the client.

3. Inter-Borough Car Service. This is the same as the above service, but it is for medical trips out of the borough of Queens.

4. Intra-Borough Ambulette Service. This is a vendored program for those clients either in wheelchairs or bed-bound. The companies are responsible for lifting clients, and therefore the services is beyond the scope of most of our paratransit programs who:

1. Do not have the staff to do lifting or
2. Cannot afford liability coverage.

This service, due to its high cost, is usually limited to medical trips.

5. Inter-Borough Ambulette Service. This service is the same as above, but it goes out of the Borough of Queens.

Our aim was to have a program, or programs deliver these services in each locale. In 1984-1985, our programs under CSE funding (Community Services for the Elderly, a New York State program that is similar to Title III) received an increase. Through a community planning

process it was decided that in some community districts, at least part of this money would be spent for transportation. We assisted in the planning of these programs, and in one case, we created a prototype, reflecting the five types of transportation featured in our model. Currently, we are closely monitoring the progress of this program.

Our analysis also revealed several sore spots identified by most service providers. Two areas of concern were: high rates for insurance and difficulties encountered in locating a suitable car service to do business with. The Project took action by drafting questionnaires which were sent to car services and insurance companies. The questionnaires included a cover letter which stressed our intent to purchase services on a group basis. Dealing with a number of agencies gave us a bargaining position, which has paid off in dollars and cents. Since then, we have had success in lowering some of our premiums as much as $1400 per vehicle. In addition, we have identified those car services who are capable and willing to provide the special care in transporting the elderly which we required. The specifics gleaned from the questionnaire also serve to lay the foundation of written contracts we enter. (See App. B)

C. Coordination

It became apparent that in order to foster a viable and confederated system, the many independent transportation providers would have to be knit together. We did this in a number of ways:

1. We contacted and visited each program in the borough in order to achieve -

   a. A knowledge of the programs' operation in their everyday operations.
   b. A rapport with those responsible for administering these programs.
   c. An understanding with each agency that we were there to offer assistance, not defund their programs.

2. Next, we organized Queens into five geographical sectors, where we endeavored to keep neighborhoods intact. Currently, we have nine sectors, which we have found to be a more natural framework to work from. Each sector has a sector leader, who tries to keep close tabs on any transportation operating in the area. In addition, DFTA, along with the sector leaders, convene local Transportation Task Force meetings. These may occur as frequently as monthly, or as infrequently as quarterly, depending on the needs of that particular sector. Appendix A (2) shows each sector imposed on a Queens map.

We have a diverse set of goals for these local sector meetings, which include:

   a. Making sure the community, as a whole, is being serviced by agencies DFTA is contracting with. The legislation with which we operate. CSE, envisions community-based service. We want to ensure that each contractor is not merely servicing their own agency (like a senior center).
   b. We try to make each agency aware of the others' service, thereby avoiding duplication in delivery. It also allows us to focus on service gaps.

c. We give providers and consumers a forum to air grievances, request information, and offer suggestions.
d. Establishing a "feed in" mechanism to facilitate discourse on local issues which can then be raised at the Boroughwide Transportation Task Force. Each sector leader is invited to this larger meeting.
e. Allowing different groups to join together and work out joint solutions to transportation problems. An example would be cooperating to get a client into Manhattan.
f. Creating standing committees with expertise on local, as well as less provincial transportation matters. These committees can serve as conduits for future funding and planning of services.

3. We have also engaged in coordination to increase materially our service and in particular, utilize our resources to the utmost. We have actually linked agencies together to serve clients who would not have otherwise received the transportation because of deficiences in each agency's program viewed separately. Here are three concrete examples:

a. One of our agencies in Central Queens runs a 14 passenger minibus with wheelchair access. One day a week they bring several very frail clients to a day center in Eastern Queens. Since their bus was not filled to its capacity, another agency in Western Queens decided to ask them for help. Now, the Western Queens agency brings in a few clients to the Central Queens agency, where they transfer, and go the rest of the way to the day center. Due to the distance, the clients from Western Queens would not normally be able to attend the day center; however, since we use a transfer this is now possible.
b. Another example of linkage is an agency which operates a station wagon which goes into Manhattan for medical appointments. Like most programs, their service was earmarked for one community district but their vehicle was never filled to capacity. We decided to create three routes, on three days, with three stops per each route at local senior centers. Now clients from all over Queens can get into Manhattan as long as they can get to a local center. This should not pose a great problem since most community districts have at least local transportation. The local agencies arrange these trips by communicating with the agency with the station wagon and the Project.
c. Since our programs operate under fiscal restraints, we sometimes encounter difficulties in running a vehicle full-time. One of these programs, which operates in East Queens, had funds for only three full days. Through meetings with the Boroughwide Transportation Task Force, it became know that an agency in Western Queens desired to "get their feet wet" in the transportation arena. Now they use this van on a subcontracting basis, once a week. Another agency has entered a similar arrangement, and consequently, the vehicle is now used full-time. The down time was eliminated and the agency who owns the vehicle gets a share of the fixed operating costs like insurance.

4. We have also made attempts to incorporate the invaluable voluntary network into our system. Religious organizations who provide transportation and the volunteer ambulance corps have attended our meetings. The American Cancer Society, who have begun a voluntary transportation program called 'Road to Recovery', regularly attend our meetings.

One of our most impressive accomplishments was to covene a meeting of major hospitals in New York City. It was attended by many health providers and it gave us an opportunity to exchange ideas. The hospitals distributed copies of their clinic hours which now help us plan certain apointments. We also met the hospital representatives face to face. We believe that this personal contact is indispensable to effective coordination. The hospitals were very cooperative with the group and agreed to assist with our clients. One suggestion was to call ahead to the clients and make sure our clients get their treatments first, since very often a car is waiting. Another idea, which has some serious client centered issues related to it, is having the patient transferred to a local facility. Of course, the treatment must be as good as the original facility, and the patient must be perfectly comfortable with such a transfer. We have enjoyed some success with this strategy.

D. Stimulation (Anti-Disincentives)

Transportation is a tough business -- it is complicated and frustrating. However, it is also a vital component of our daily lives. We therefore try to encourage this service. One way to do this is to clear the path for agencies who desire to get started. Real technical assistance is provided by the Project, and more is planned (see e.g. Section E). We try to make it easier for transportation programs to start up, and try to make existing programs operate with less friction. Such assistance includes:

1. Personal visits to programs to go over the 'how to's' of a transportation system. This includes tips on routing, hiring drivers, purchasing vehicles, contracting with vendors, forms for record keeping, analysis of performance-based accounting as it applies to transportation, insurance, and assistance in any pertinent matter.

2. Updates on new legislation, technology sharing, and the 'lowdown' on various funding sources such as UMTA.

3. Hints on vehicle maintenance given in a non-technical and readable fashion (See, e.g. App. C).

4. We assist the agency in choosing a contractor with a proven track record and aid in drawing up a contract which will protect the agency and the client.

5. We also provide some limited mechanical assistance, particularly with hydraulic lifts.

6. Trying to link up volunteers with the programs to assist in escorting tasks and lifting food packages.

E. Innovation

With a view toward the future, we are engaging in the following activities. They reflect a bifureated goal: lower costs and qualitatively superior services.

1. Taxes on fuel purchases - Since our agencies are mostly tax exempt entities, there is no reason for them to be paying state sales tax. As far as these State Sales Tax are concerned, the Project has intervened in two ways:

   a. We have investigated the feasibility of using corporate credit cards, where the tax is removed centrally. The estimated savings is 8¢ of the cost of a gallon of gas. We are happy to report that many of our programs are now doing this.

   b. In addition, we have discovered a way in which providers can get a refund for Sales Tax perhaps paid in the past three years.

2. Excise Tax - All consumers of fuel pay Federal Excise Tax unless they fall into narrowly defined categories of arms of the government or certain educational institutions, according to the Federal Tax Regulations. (See R. 48.4221-6). A New York paratransit provider challenged this regulation and failed to get relief. Their 'letter ruling' is limited in precidential value to their specific case, and perhaps we may research this further.

3. Measurement Instruments - We intend to develop more precise instruments which will lead to a more sensitive analysis of service provision. Our basic thrust is to qualify, not merely quantify. Since our programs are now on a performance based reimbursement accounting system, this is especially vital. Normally, we measure each one way trip as one unit of service, and reimburse according to a budget. However, capturing units as mere numbers fails to distinguish the various kinds of transportation being delivered. The costs are different, as is the relative importance of the kind of trips. Clearly, if our goal is to understand exactly what is being delivered under the broad definition of transportation, and then communicate such findings via some type of MIS system, we must qualify our data. In addition, we will stress that although one service, like an inter-borough ambulette, is expensive when compared with group trips, it is necessary. We want our tools to be able to tell us that; yes, the service is expensive, but not for the type of transportation being done.

4. Linkage of Mass Transit with Paratransit - We are currently examining the possibility of using paratransit to bring clients to certain accessible buses or subway stations. This type of connection is specifically mentioned in the very recent amendment to the New York Transportation Law. The project is currently working closely with the Queens Borough President's Office to see which stations could be joined with our Network. By utilizing our paratransit system we will bring those individuals to stations and will hopefully increase the usage of this accessible transportation medium. (See App. D for a New York City Map)

5. Communication Devices - Our project applied for and received a grant to establish a two-way radio system in Queens. These 'Trunqued' radios will be placed on existing vehicles in Queens, which, due to semi-fixed routing have down time. The operation will be carried out as follows:

a. 7-10 vehicles will be fitted with the 'trunqued units.' In addition, a base station will be established in Queens. This base will be manned by a dispatcher who will receive calls via a hotline arrangement. Each of the equipped vehicles will be loosely tracked so the dispatcher has a basic idea of their locations. When a client calls the hotline, the dispatcher will attempt to set up a ride with one of the circulating vehicles. The dispatcher will also have each vehicle schedule, which will specify down time (i.e., time when the vehicle is not scheduled). Finally, the local agency will also have a radio to contact the drivers. We hope this system will drastically reduce down time, allow for more clients to be serviced, and provide a means whereby the local agency can contact their driver. Further, each vehicle can communicate with each other, so they can assist one another in case of an emergency.

6. Transportation and the Law - We will be exploring and describing many legal issues associated with transportation. For example, the legal issues connected to liability in the case of an accident will be analyzed. We perceive tort liability to be the number one disincentive to setting up voluntary transportation programs. Therefore, we intend to clarify the issues and come up with some strategies.

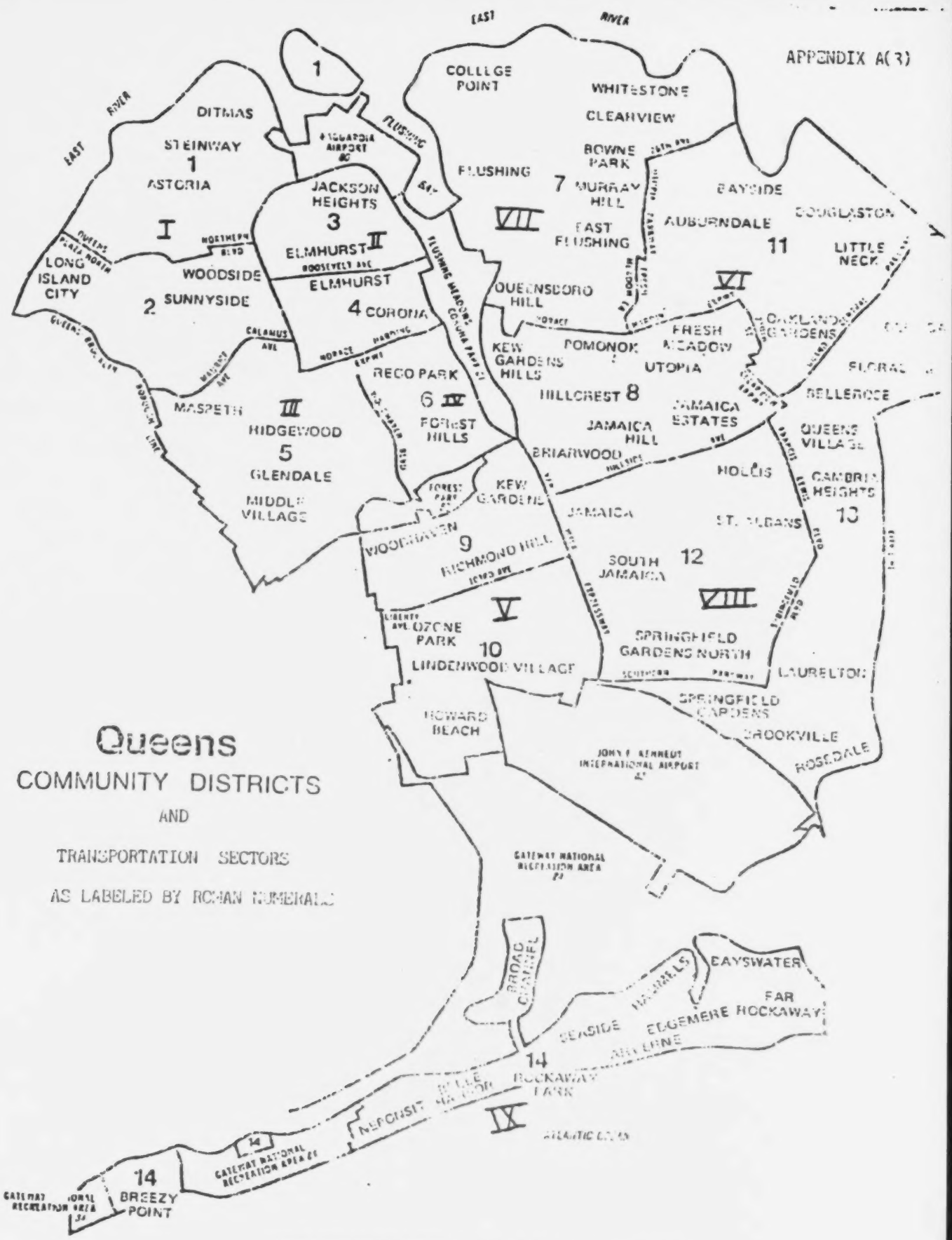
7. Transportation Planning Kit - The project is developing a kit which will include detailed instructions on setting up a transportation program. Every aspect we have discussed in this paper will be included in the kit.

V. CONCLUSION

So far, the Queens Transportation Project has been successful. We have gained the trust of the community by providing valuable assistance. Our intention now is to continue to view our programs critically, with an eye toward 'more bang for the buck', without sacrificing quality service. In the near future, we will be measuring the effectiveness of our programs and we are looking forward to reporting these results in the next paper. Until that time, keep on rolling!

NEW YORK CITY Demographics based on 1980 Census Data

1.	New York City Population	7,895,100
2.	Queens Population	1,713,200
3.	Queens Population over 60 years old	388,000
4.	Transportation Disabled in Queens	69,554
5.	Transportation Disabled in Queens over 65 years old	39,760
6.	Transportation Disabled in Queens under 65 years old ...	29,794



Queens

COMMUNITY DISTRICTS

AND

TRANSPORTATION SECTORS

AS LABELED BY ROMAN NUMERALS

THE NEW YORK DEPARTMENT OF CITY PLANNING

The City of New York

DEPARTMENT FOR THE AGING
2 LAFAYETTE STREET
New York City, New York 10007
JANET S. SAINER, *Commissioner*

February 10, 1984

Dear Common Carrier:

This questionnaire is the follow-up to the previous correspondance dated October 19, 1983 from Queens Borough President Donald R. Manes. At that time, the Senior Citizen Transit Task Force was explained to you. The Task Force is currently gathering information on the operations of car services as they directly pertain to service delivery to older adults residing in Queens.

We hope that you will fill out the enclosed survey. The results of this survey will help us to ascertain which company can best serve our needs. The solicitation of this information in no way manifests an offer to do business with your company. Also, your company, by providing such information in no way legally binds itself.

If you have any questions please feel free to call me at 544-1265 ext: 14.

Thank you for your time and patience.

Sincerely,

STAN L. PRITZKER

SAVE WATER

CAR SERVICE QUESTIONNAIRE

I. A. NAME OF CARRIER: _____

EXECUTIVE OFFICER _____ BUSINESS # _____

B. YEARS IN SERVICE: _____

C. WHAT TYPES OF VEHICLES DO YOU HAVE AVAILABLE, e.g., VANS, MINIBUSES, STATION WAGONS:

1. _____

2. _____

3. _____

4. _____

D. NAME OF INSURER: _____

1. PLEASE INDICATE AMOUNT OF LIABILITY INSURANCE CARRIED PER VEHICLE AND EITHER SUBMIT PROOF THEREOF, OR REFER OUR GROUP TO YOUR AGENT.

_____

_____

_____

2. CAN OUR GROUP CONTACT YOUR INSURER TO INQUIRE AS TO YOUR SAFETY RECORD?

YES_____ NO_____ IF NO, WHY NOT? _____

_____

_____

II. A. DOES YOUR COMPANY HAVE THE CAPACITY TO SERVICE CUSTOMERS LIVING THROUGHOUT QUEENS IN AN EFFICIENT MANNER, OR, ARE YOU PRIMARILY A LOCAL CARRIER THAT WOULD HAVE TO CHARGE EXCESSIVE RATES TO PICK UP CUSTOMERS WHO DO NOT RESIDE CLOSE TO HOME OFFICE?

_____

_____

_____

B. ARE YOU CURRENTLY PROVIDING SERVICE TO ANY SENIOR ORGANIZATION OR HOSPITALS?

YES_____ NO_____ WHAT GROUPS? _____

_____

C. ARE YOU ABLE TO CARRY BILLINGS FOR ABOUT A MONTH FOR THE AMOUNT OF:

$1000_____ $5000_____ $10,000_____

D. WOULD YOU BE ABLE TO PROVIDE ONE OR TWO KEY DISPATCHERS, ALONG WITH A SPECIAL PHONE NUMBER FOR THE AGENCY WISHING TO CONTRACT?

YES_____ NO_____ EXPLAIN:_____

_____

E. WOULD YOUR DRIVERS BE WILLING TO OFFER ASSISTANCE TO SENIOR CITIZENS IN CASES REQUIRING SERVICES SUCH AS:

1. GOING UP TO THE THIRD FLOOR OF A BUILDING, RINGING THE BELL, PERHAPS SEVERAL TIMES, AND WALKING WITH THE CUSTOMER DOWNSTAIRS.....

   YES____ NO____ WOULD THERE BE AN EXTRA CHARGE? YES____ NO____

2. ASSISTING PASSENGER INTO THE CAB, FOLDING UP WALKER OR WHEELCHAIR, AND CAREFULLY PLACING IT IN THE TRUNK. UPON DELIVERY OF PASSENGER, TAKING OUT THE CHAIR AND ASSISTING (NOT LIFTING) CLIENT OUT OF CAR INTO MEDICAL FACILITY.....

   YES____ NO____ EXTRA CHARGE? YES____ NO____

NOTE: WE DO NOT REQUIRE LIFTING, NOR IS IT SAFE TO ATTEMPT.

III. A. WOULD YOUR COMPANY PARTICIPATE IN:

1. ALLOWING A DEPARTMENT FOR THE AGING STAFF PERSON TO GIVE DRIVERS A BRIEF TRAINING SESSION ON HOW BEST TO TREAT SENIOR CITIZENS, VIS-A-VIS, WHAT TO BE SENSITIVE TO?

   YES____ NO____

2. GIVING LOWER GROUP RATES IF MORE THAN ONE CUSTOMER IS GOING TO THE SAME DESTINATION?

   YES____ NO____

3. GIVING OUR GROUP A DISCOUNT BASED ON VOLUME OF BUSINESS?

   YES____ NO____

4. WHAT PROCEDURE WOULD YOU FOLLOW WITH REGARDS TO A GRATUITY?

_____

B. DO YOU CHARGE FOR WAITING TIME, AND IF SO, AT WHAT RATE?

_____

_____

_____

IV. A. PLEASE FILL IN THE ROUND TRIP FARE FOR EACH RIDE LISTED. THE PRICE LISTED WILL REPRESENT THE TOTAL COST TO VENDEE. IF THERE WILL BE ANY ADDITIONAL COSTS, PLEASE INDICATE.

ZONE 1 - SPRINGFIELD BLVD. & LIE
ZONE 2 - 260 ST. & UNION TPKE.
ZONE 3 - 140 ST. & BURDEN CRESCENT

THE ZONE REPRESENTS THE PLACE OF PICK UP.

NORTHEASTERN QUEENS

	ZONE 1	ZONE 2	ZONE 3
A. LONG ISLAND JEWISH HOSPITAL.....			
B. FLUSHING HOSPITAL.....			
C. ELMHURST HOSPITAL.....			
D. HILLSIDE AVE. & 170 ST.....			
E. NYU HOSPITAL.....			
F. MT. SINAI HOSPITAL.....			

****

B. PLEASE FOLLOW THE SAME INSTRUCTIONS FOR THE FOLLOWING:

ZONE 1 - 130 ST. & 20 Ave.
ZONE 2 - MAIN ST. & NORTHERN BLVD.
ZONE 3 - FRANCES LEWIS & WILLETS PT.

FLUSHING AREA, WHITESTONE, COLLEGE PT.

	ZONE 1	ZONE 2	ZONE 3
A. NYU HOSPITAL.....			
B. MT. SINAI HOSPITAL.....			
C. BOOTH MEMORIAL HOSPITAL.....			
D. WYCOFF HEIGHTS HOSPITAL.....			
E. ELMHURST HOSPITAL.....			
F. LIJ HOSPITAL.....			

C. JAMAICA, SOUTHERN QUEENS

ZONE 1 - MERRICK BLVD. & JAMAICA AVE.
ZONE 2 - FRANCES LEWIS BLVD. & CONDUIT
ZONE 3 - ROCKAWAY BLVD. & SUTPHIN

	ZONE 1	ZONE 2	ZONE 3
A. QUEENS GENERAL HOSPITAL.....			
B. MARY IMMACULATE HOSPITAL.....			
C. JAMAICA HOSPITAL.....			
D. LIJ HOSPITAL.....			
E. MT. SINAI HOSPITAL.....			

****

D. OZONE PARK, WOODHAVEN, KEW GARDENS

ZONE 1 - 114 AVE. & 122 ST.
ZONE 2 - 86 AVE. & 85 DRIVE
ZONE 3 - LEFFERTS & LIBERTY
ZONE 4 - 118 ST. & UNION TPKE.

	ZONE 1	ZONE 2	ZONE 3	ZONE 4
A. N.Y. HOSPITAL (68th & York).....				
B. 69-03 FRESH POND ROAD.....				
C. LIJ HOSPITAL.....				
D. MARY IMMACULATE HOSPITAL.....				
E. BOOTH MEMORIAL HOSPITAL.....				
F. 135-45 LEFFERTS BLVD.....				

****

E. FOREST HILLS, ELMHURST, CORONA

ZONE 1 - QUEENS BLVD. & YELLOWSTONE BLVD.
ZONE 2 - CORONA AVE. & JUNCTION BLVD.
ZONE 3 - ASTORIA BLVD. & 100 ST.

	ZONE 1	ZONE 2	ZONE 3
A. LA GUARDIA HOSPITAL.....			
B. ELMHURST HOSPITAL.....			
C. LIJ HOSPITAL.....			
D. MT. SINAI HOSPITAL.....			

* continued on next page...

E. FOREST HILLS, ELMHURST, CORONA - continued...

	ZONE 1	ZONE 2	ZONE 3
E. JAMAICA HOSPITAL.....			
F. N.Y.U. HOSPITAL.....			

****

F. ASTORIA, WOODSIDE, SUNNYSIDE

ZONE 1 - DITMARS & 31 ST.
ZONE 2 - BROADWAY & 21 ST.
ZONE 3 - QUEENS BLVD. & ROOSEVELT AVE.
ZONE 4 - 45 AVE. & 49 ST.

	ZONE 1	ZONE 2	ZONE 3
A. ELMHURST HOSPITAL.....			
B. N.Y. HOSPITAL.....			
C. BOOTH MEMORIAL HOSPITAL.....			
D. LIJ HOSPITAL.....			
E. 25-31 30 St.....			
F. 37-15 73 ST.....			

****

G. MASPETH, GLENDALE, RIDGEWOOD

ZONE 1 - 64 AVE & 58 RD.
ZONE 2 - MYRTLE AVE. & FRESH POND RD.
ZONE 3 - METROPOLITAN AVE. & 59 AVE.
ZONE 4 - ELIOT AVE. & 83 ST.

	ZONE 1	ZONE 2	ZONE 3
A. ELMHURST HOSPITAL.....			
B. KINGS COUNTY HOSPITAL.....			
C. LIJ HOSPITAL.....			
D. UNION TPKE. & MYRTLE AVE.....			
E. N.Y. HOSPITAL.....			
F. N.Y.U. HOSPITAL.....			
G. JAMAICA HOSPITAL.....			

H. THE ROCKAWAYS

ZONE 1 - SEAGIRT & BEACH 19 ST.
ZONE 2 - ROCKAWAY BLVD. & BEACH 100 ST.
ZONE 3 - NEPONSIT AVE. & BEACH 149 ST.
ZONE 4 - BAY BLVD. & 19 AVE.

	ZONE 1	ZONE 2	ZONE 3	ZONE
A. SEAGIRT & 20 ST.....				
B. BEACH 54 & BEACH CHANNEL DRIVE.....				
C. KINGS COUNTY HOSPITAL.....				
D. LIJ HOSPITAL.....				
E. N.Y.U. HOSPITAL.....				
F. LA GUARDIA HOSPITAL.....				

NUTS AND BOLTS OR "LOOKING FOR MR. GOODWRENCH"

I. Maintenance

A. For a new vehicle, follow the maintenance schedule in the manual to the letter. This will not only preserve your vehicle, it will offer you full protection if something goes wrong. The dealer will be prevented from turning around and saying something like,

> "You're not covered under warranty because you didn't bring it in at 10,000 miles for oil change ....."

B. Older Vehicles -- "Treat them like babies, T.L.C."

1. "Change My Oil!" - If vehicles on the road could talk, most would be saying "Change My Oil". Oil is the life blood of your vehicles power plant. It serves two major purposes - lubrication and cooling. Most people realize that oil is a lubricant, but it also cools the engine. Oil circulates throughout the engine and acts to dissipate heat from engine surfaces.

   a) Change oil and filter every 3,000 miles. Replace it with SAE 10-40 weight and a good filter, such as Motorcraft or another name brand.
   b) On my own vehicles, I add about 1/2 quart of Marvel Mystery Oil during each change. This is a top cylinder lubricant, and although I have no hard evidence that it increases engine life, my vehicles do talk, and ask for it.
      Note - Do not overfill crankcase with it, fill it up only to limit.
   c) While you're at it, have a mechanic grease chasis.

2. "Please tune me up" - About every 7,500 miles my vehicle ask me to tune them up. A complete tune up, for older vehicles that utilize breaker point ignition as opposed to electronic ignition will include:

   a) Change - Points, Plugs, Condenser
      1. Make sure mechanic properly gaps spark plugs, sets points correctly, lubricates cam which pushes points open.
   b) Set the timing - Often a car will ping when accelerated, or experience run-on because timing is incorrect.
   c) Replace Air Filter
   d) Set Carburators
   e) Change distributor Cap & Rotor if necessary. Change ignition wires if necessary
   f) Check emissions, and replace P.C.V. valve if necessary.
   g) Always use brand name parts or the replacement parts from your company, like G.M. or Ford.
      1. However, don't expect a "great G.M. feeling from using genuine G.M. parts"

3. "Flush-Me" - Like toilets, radiators need to be flushed. Let your mechanic do it in late fall, replacing it with 50% anti-freeze, to prepare for winter. If your radiator freezes, consequently your block will freeze and crack; your motor is finished and you'll be extremely embarassed - all because you forgot to flush.

4. A battery should last about 3-4, maybe 5 years. Even a maintenance free battery should be checked by a mechanic every 6 months. Get a battery terminal brush at an auto supply store and keep terminals clean. Never, never touch both terminals at same time. If you are squeamish about maintenance, let your mechanic do it. It takes 5-10 minutes.
5. Have mechanic check exhaust system. If you need to replace it, try to get a lifetime muffler. Have mechanic place vehicle on lift and check work yourself. If you have no knowledge about exhaust systems, let your driver do it. If you have any doubts about workmanship, point it out, and have it corrected.
6. Have mechanic check front end. Also, make sure tires are balanced. Shocks should be replaced every two years, possibly more often given poor condition of roads in New York City.
7. "Wash Me"- Clean vehicle monthly. If vehicle is too large to fit in a commercial car wash, try local bus terminal, or find out where school buses are cleaned. If all else fails, you can try and hire local youths, if they are trustworthy.
8. "Cool Out"- Have mechanic check air conditioner in early spring. It may have to be charged with Freon gas. Every month air conditioner should be turned on for a couple minutes even in Winter.
9. Electrical System - The most common electrical parts to go on a vehicle are the 1) Alternator - this charges the battery, and supplies electricity, 2) Regulator - this takes the electricity and along with a resistor puts the correct voltage into the Distributor, 3) Starter - this turns your engine over, 4) Battery - this provides initial spark to turn the starter.
   a) very often the alternator & regulator will malfunction together. If you replace the alternator, put in a new regulator, it is only about $10 - $15 more.
   b) If you are experiencing things like dimmed out lights, rough idle, starter not turning over, mechanic may check these electrical parts.
10. Check transmission every two years, or more if experiencing slippage, problem changing gears, etc. Your mechanic should be able to do this
11. Replace windshield wipers every 6 months.

C. Some Helpful Tips.....

1. Unleaded Regular Gas is only 87 octane. My belief is that this is too low for most gasoline engines. If you have an efficient vehicle, try to use mostly Unleaded Premium. If your vehicle burns regular leaded gas, this is fine, at about 89 octane. Ideally, I feel that most vehicles run best at about 90 octane, but this is directly related to compression of engine.
2. Don't let the mechanic bamboozle you. If you pick up a vehicle that was just serviced and you feel it isn't running well, tell him. If you think there is something wrong with his work, let him know it. Sometimes it seems a mechanic will tell you your engine is running great, and you'd swear it is worse than when you brought it in. Just remember, Mr. Goodwrench is charging you between $25 - $30 per hour, the work should be right.

3. Every week have driver or gas station attendant check:

a) oil
b) transmission fluid
c) brake fluid
d) P/S fluid, wiper fluid
e) tire pressure
f) battery, if not maintenance free
g) tension on fan belts
h) water in radiator
u) head lights, horn

The whole deal should take 10 minutes, and is well worth it. If the weather is very cold, put in some dry gas. No matter how squeamish you are, you can do this. Buy the dry gas at a supermarket, 3/$1 and put it in gas tank.

II. How does an internal combusion engine work?

A. Internal explosions literally power your engine. Gas, a highly volatile liquid powers your engine. Here is a quick, dirty summary of how your engine works:

1. Your engine is a 4-cycle, or 4 stroke engine. This means the piston moves within the cylinder 4 times for a full cycle. Some motorcycles, snowmobiles, or a few cars have a two cycle engine. We will only concern ourselves with the 4 stroke engine. 4 strokes and 4 cycle are interchangeable terms.
2. 4 Cycles
   a. Piston moves down and a vacuum is formed in the cylinder. At the same time the cam opens the intake valve via a push rod or other device. Gas flows from the carburator, where it mixes with air, and into the cylinder. This is called the intake cycle.
   b. Next, the valves both close, piston moves up in the cylinder compressing the gas-air mixture. This is the compression stroke.
   c. Third, the spark plug fires, propelling the piston downward. This is your power stroke.
   d. Finally, the piston moves back up, but this time, unlike the second stroke, the exhaust valve opens, and the spent fumes travel through the value, out of the manifold, and through your exhaust system.
3. If you are interested in how your engine runs there are many simple books available at the library.

H A P P Y M O T O R I N G ! ! !

C.B.	PROGRAM	TYPE(S) OF SERVICE(S)	CLIENT CONTRIB. REQUIRED	FUNDING SOURCE
1	HANAC	a) 1 Bus b) 2 Vans - 1 wheel chair accessible interboro service	Yes	CSE, CD, CDA
1	Astoria Sr. Ctr.	a) 1 car - p/t transportation intraboro	Yes	CSE
2	Sunnyside Comm. Services	a) Car Service through Vendor-Interboro	Yes	CSE
2	Woodside Sr. Assist.	a) Station Wagon	Yes	CSE
3&4	St. Mark's Sr. Center	a) 1 Van - not accessible b) Inter & Intraboro Car Service c) Inter & Intraboro Ambulette Service	Yes	CSE
5	Self Help Maspeth	a) Car Service - Intraboro	Yes	State Supplement
5	POMOC	a) Car Service-Interboro	Yes	State Supplement
5	Comm. Sr. Services	a) Intraboro Car Service b) Intraboro Ambulette Service	Yes	CSE
5	Ridgewood/ Bushwick	a) Van	Yes	CSE
6	Forest Hills Comm. House	a) Station Wagon - p/t b) Interboro Car Service	Yes	CSE

C.D.	PROGRAM	TYPE(S) OF SERVICE(S)	CLIENT CONTRIB. REQUIRED	FUNDING SOURCE
6	Lost Battalion Senior Center	a) Van - p/t Not accessible	Yes	CSE
7	HANAC	a) Van (8 passenger) Wheelchair accessible b) Car Service - Intraboro	Yes Yes	CSE, CD, CDA Private Donation
7	Flushing Y	a) Van - Intraboro	Yes	State Supplementa
7	Flushing Comm. Services	a) Station Wagon - p/t Interboro	Yes	CSE
8, 11 & No. 13	Samuel Field Y	a) Van - Accessible b) Car Service Intraboro	Yes	State Supplementa
8, 11 & No. 13	SNAP	a) Van - not accessible	Yes	State Supplementa
8, 11 & No.13	Bayside Sr. Services	a) Van - Accessible b) Car service Intraboro	Yes	CSE
9&10	Richmond Hill/ Woodhave Sr. Ctr.	a) Station Wagon b) Car Service Intraboro	Yes	CSE
12 & So.13	JSPOA	a) 5 Vans - 1 Accessible b) Car Service	Yes	CSE, CDA
12 & So.13	Springfield Gdns. Senior Center	a) Van - Not accessible Intraboro	Yes	CSE
12 & So.13	Rosedale Sr. Center	a) Bus - Fixed route brings clients to center. b) p/t van Intraboro	Yes	CSE

C.B.	PROGRAM	TYPE(S) OF SERVICE(S)	CLIENT CONTRIB. REQUIRED	FUNDING SOURCE
So.13	Little Sisters of the Poor	a) 2 Vans - only serves their members - Intraboro		Not funded
14	Rockaway Comm. Sr. Services	a) p/t Van - Accessible b) car service	Yes	CSE
14	Gustave Hartman Y	a) 2 Vans b) Bus	Yes	CSE

SOMETHING FUNNY HAPPENED ON THE WAY TO COORDINATION

Submitted by:

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INTRODUCTION

The purpose of this paper is to outline one county's experience in trying to establish a coordinated system of transportation utilizing UMTA 16 (b)(2) vehicles, Section 18 funds and local agency resources. Madison County is a rural county, one whose strengths and weaknesses, resources and needs are typical of rural America. As the reader will conclude, this county's experiences are similar to the experiences of others around the country when trying to coordinate these funds.

Briefly, the body of this paper is composed of four areas: Background; Barriers encountered in trying to establish a coordinated transportation system; Discussion of specific rural concerns; Presentation of options for improving transportation coordination.

The conclusions reached by the authors of this paper have resulted in the following recommendations:

We recommend that the Urban Mass Transit Authority and State Departments of Transportation adopt Administration on Aging's method of administering the Older Americans Act for the administration of Section 18 and 16 (b)(2) programs,including:

... Prospecive funding

... Rapid plan approval

... Local determination in establishing priorities

... Flexibility in meeting federal mandates

This would result in a decreased regulatory role for DOT officials, thereby allowing an increased role in technical assistance problem solving and model development.

BACKGROUND AND HISTORY

In 1979, Margaret Williams, Director of the Madison County Office for the Aging was named as the first Section 18 Coordinator for Madison County, a typical rural county in New York State. Working with the Regional Planning Department and directors of all of the county's human service agencies, Ms. Williams assumed a leadership role in trying to coordinate all of the transportation resources in Madison County. Each agency was anxious to improve coordination of transportation reasoning that if all parties combined their resources, purchased cooperatively and shared in overhead costs common to all that they would at least be able to slow down the spiraling costs of transportation. The group soon reached agreement that in order to protect valuable "program dollars" they would have to both increase efficiency and find other sources of funding for transportation.

At the same time, the Urban Mass Transportation Act (UMTA) Section 18 began to be implemented in New York State. New York State Department of Transportation (NYSDOT) officials at first saw this as an opportunity to help rural counties such as Madison solve their transportation problems. Thus, the future looked bright. It seemed like only a matter of time before the combination of NYSDOT expertise, Section 18 funding, and cooperative human service agencies would result in increased accessibility and efficiency.

The Rural Aging Services Project (RASP) began in 1981 as an Administration on Aging (AOA) funded model project to identify and eliminate barriers to improved housing, transportation and health and human services to the rural elderly. Through surveys and hearings, RASP Staff found that transportation was the single most significant barrier to improving all services to the rural elderly. After consultation with NYSDOT and surveying the literature, it appeared that the development of a brokerage system where agencies share resources but do not give up vehicle ownership or decision making would be the best approach to improving coordination and accessibility of transportation in rural areas. After reviewing the various county Section 18 plans, Madison County was selected to be the test site for development of a model brokerage system.

Madison County had expressed both an interest in brokerage and had passed through the necessary "turf problems" so that agencies were ready to address the more technical aspects of developing a model brokerage system. Thus, a partnership was formed between DOT, the New York State Office for the Aging/RASP and Madison County to develop a model brokerage system --

one which could be easily replicated in any rural county of the State or of the country. All parties agreed not to take any shortcuts but rather address each issue as it came up, so as to insure the model's replicability.

There were several key barriers which were identified from the onset of the Project: first, the statutory requirements for Section 18 and Section 16 (b)(2). Section 18 required that all vehicles be open to the public 30 hours per week with no priority for the elderly and the handicapped, while Section 16 (b)(2) required that elderly and handicapped be served first with the public being served on a "space available basis" only.

Second, Section 18, transportation coordinator funds were used to hire a coordinator who would act as principal staff person for the development of the model brokerage system in the first year and then become the system's broker in the second year. The use of Section 18 monies to fund this principle staff person (in the absence of any other available funds) meant that all activities had to be Section 18 approved. (The limitations placed by the funding source on the transportation coordinator activity were much greater than anticipated.)

Third, there was an unresolved public policy issue regarding responsibility for funding transportation services for the transportation disadvantaged. There was a clear overlap between Section 18's target group - the "transportation disadvantaged" (defined as "the elderly, disabled, youth and the poor) and human service agency clients, because all human service clients fall within the definition of transportation disadvantaged. On the one hand, NYSDOT saw human service agencies as being responsible for transportation services associated with programs sponsored by each agency. On the other hand, human service agencies perceived the enactment of Section 18 as a major step towards reducing the fiscal demands on the program dollars of human service agencies, and shifting both the fiscal and technical assistance responsibliity to DOT.

Fourth, there appeared to be a variety of abstract barriers eminating from the different orientation and administration of DOT related programs versus human service related programs. As will be described in fuller detail later, there were a number of significant differences between the way that human service agencies operated and DOT operated: DOT used very different language and terminology than human service agencies, maintaining a very strict regulatory approach to grant administration. DOT's grant writing and

administrative procedures called for more detail and quantification, especially in pre planning, than is normally required of human service agencies. Also the DOT review process required much more time from submission of grant to release of funds than human service agencies were used to. The county and its human service agencies were anticipating less emphasis on plan development and more emphasis on a "hands on" trial and error approach for model development.Also, they expected greater flexibility and local discretion as to best use and coordination of funds. These pre-existing barriers stifled the normal process of moving a concept from an idea to reality. The creativity, espirit de corps, and enthusism of the participants was constantly dampened by these as well as other unforseen, continually multiplying barriers.

Madison County

Madison County is located in the geographic center of New York State and has a land area of 661 square miles. Oneida is the only city located within the County with a population of 10,000 people; however, Syracuse, New York is only 20 miles from the county border.

Fifteen percent of Madison County's total population of 65,000 are 60 years of age and older. This high percentage of elderly is typical of rural areas throughout New York State and promises to increase to approximately 25 percent within the next ten years.

Located within the snowbelt of Upstate New York, during the winter, Madison County's roads are often covered with snow. Public service transportation exists within Madison County, but runs primarily east/west along routes 5 and 20 running between Syracuse and Utica. Taxi services are available in Oneida and Canastota. There are essentially no public routes that run north/south through the County thereby leaving many of the most rural residents without adequate transportation.

Several human service agencies provide for the specialized needs of the transportation disadvantaged specifically the elderly and the handicapped: Madison County Office for the Aging, Association for Retarded Citizens (ARC), Retired Senior Volunteer Program (RSVP), Senior Nutrition and County Kitchen (SNACK), West Kendrick Center (day care for the elderly), Gerrit Smith Infirmary, and Cooperative Extension. Some ambulance services are provided in some of the towns.

Another fact that had implications for the development of a model transportation program in Madison County was the fact that county government was strong in New York State. The Madison County Board of Supervisors oversees most of the public services in Madison County. From the beginning, the chairman of the Board of Supervisors encouraged and supported the effort to develop a model brokerage system in Madison County.

MADISON COUNTY'S APPROACH TO BROKERAGE

The following provides a summary of the conceptual framework for brokerage developed at the beginning of the project to be implemented by the proposed Madison Transportation Agency later known as TRAM (Transportation Around Madison):

"Madison County can anticipate, through federal approval of Section 18 applications, reimbursement of funds for the services provided by the Madison Transportation Agency (MTA) Transportation Broker, Dispatcher, and acquisition of capital equipment (repeater base station, mobile radio units, and fareboxes) for the initial start-up and development of a coordinated transportation system. The Madison County public transportation service should be referred to as the Brokerage System.

The intent of the Brokerage System will be to increase the levels of public transportation presently available through the coordination of human service agency vehicles and public vehicles. Coordination is necessary in order to:

1. increase per vehicle occupancy through cross-ridership amongst agency clients, as well as opening the system up to the public.
2. achieve economies of scale for purchasing gas and parts insurance agreements and the like, which will reduce per unit cost; and
3. increase the accessibility and availability to the transportation disadvantaged by:
   .. allowing cross-ridership,
   .. utilizing agency vehicles in the off hours for non-agency related, thus, general public purposes, and
   .. use of volunteers.

The MTA was formed to serve as a principal administrative body to subcontract with the participating human service agencies in performing specific coordination functions. The MTA consists of an appointed group of Board of Directors and an Advisory Committee. Presently, the MTA has established a private, not-for-profit corporation for the housing and operation of the Transportation Broker and Dispatcher. County office space is also being given consideration for potential housing of these employees. The final decision will be made based on the greatest cost-effectiveness and efficient method of: maintenance of vehicles, bulk purchasing arrangements for parts, gasoline, and radio dispatching of agency vehicles.

Centralized accounting will be a function of MTA for the debiting and

crediting, for fares, fees, and related operational reporting procedures.

The Brokerage System will operate in the following way:

.. All agencies will agree to use centralized dispatching provided by MTA

.. Tokens, fares and agency authorizations will be used to ensure that agencies receive reimbursement for the extra services they provide.

.. The MTA will also be responsible for scheduling routine maintenance repair for all agency vehicles.

.. The MTA broker will ensure that all governing agreements are developed and maintained amongst agencies and the County.

.. Whatever subcontracter performs centralized accounting and billing, their function will be clearly outlined in a memorandum of understanding signed and agreed to by all parties.

.. User fees for the operation of MTA will be established and paid for by member agencies and/or the County.

Through this arrangement of service for the MTA, the following will be adhered to by users and purchasers of the system:

1. Anyone is eligible for a ride.
2. Agency bus routes, times, and schedules will only be changed with an approved agreement from the agency and MTA.
3. Existing contracts between participating agencies and State agencies will not be violated."

BARRIERS TO ACHIEVING A MODEL BROKERAGE SYSTEM

As will be discussed below, numerous barriers frustrated Madison County's attempts to make this idea a reality.

This section of the paper will describe the administrative, statutory, legal, technical and financial barriers encountered in the development and implementation of the model brokerage system. The numerous minor barriers which are encountered as a part of the research, development, and implementation of any new program will not be described.

Generally, the most significant barrier to developing a coordinated system eminated from the fact that participants were trying to take existing transportation services and enhance their ability to coordinate rather than starting with non-existent transportation services and developing a coordinated system. Clearly, it would have been easier to begin coordination in the planning stages rather than after all systems were operational. For every different program funding source, there existed different procedures for reporting, spending and allocating transportation resources. Thus, the massive technical barriers to merely satisfy statistical and fiscal reporting requirements seemed awesome but somehow surmountable.

As mentioned earlier, the statutory barrier implicit in the mutually exclusive wording of Section 16 (b)(2) and Section 18 presented a formidable obstacle to coordinating transportation resources.

Ostensibly, this was a regulatory problem, i.e. the mutually exclusive clauses of Section 18 and 16 (b)(2). But, because other states had successfully coordinated the use of the two funding sources; and federal guidance encouraged the coordination of the two programs; and finally, because the legislative intent of Section 18 was to target the transportation disadvantaged, the architects of this demonstration were confident that the apparent regulatory problem could be overcome. This did not prove to be the case. Instead of relaxation of 16 (b)(2) regulations, NYSDOT issued a directive to 16 (b)(2) operators advising them to "continue to serve the special population as identified in their original 16 (b)(2) application."

The problem of coordinating Section 18 and Section 16 (b)(2) funds has not been only due to regulatory language, but was perhaps more importantly due to a lack of an agreed upon understanding of "who is the general public". As has been elucidated earlier, human service agency providers saw the enactment of Section 18 as a commitment of more generic transportation funds to help reduce the drain on human service program dollars as well as

to help meet the increasing demand for transportation services. Thus, there would be some shift of fiscal responsibility for transportation from human service agencies to DOT. This impression came not only from the wording of the legislation encouraging coordination with existing human service agency transportation, but also came from the target population of Section 18 - the transportation disadvantaged (the elderly, disabled, young and poor). (The definition of transportation disadvantaged included the entire universe of human service clients.) This led to the conclusion that human service clients were part of the general public and thus would be served by Section 18, and that the transportation disadvantaged (the elderly, the disabled, the young and the poor) would be the primary potential users of public transportation. Yet guidance by UMTA for the preparation of grant applications implied that the transportation disadvantaged were not distinct from the general public "public transportation services may be designed to maximize usage by transportation disadvantaged persons provided that the general public be afforded an equal opportunity to utilize transportation services funded by Section 18. " (UMTA Section 18 Grant Application Instructions, 1983.)

On the one hand, human service agencies were encouraged to coordinate with Section 18, but on the other hand, the maze of regulations and requirements for "open to the public" created constant barriers to actually accessing Section 18 monies.

Financial barriers impede the progress and development of any new program. This certainly was the case in Madison County where the only demonstration funds available were under the Section 18 "Transporation Coordinator Program". While this did provide a person to act as the single staff for all of the required work to developing a brokerage system, the regulations governing his activity often precluded his involvement in the coordination process vis a vis 16 (b)(2) vehicles. Although the multiple funding sources sum totalled a great deal of actual expenditures on transportation, the actual isolating of those funds for contributing to the coordinated transportation system was difficult, not only because of the jumble of regulations and guidelines which govern the use of those funds, but more importantly, the fact that transportation dollars were inalterably tied to the programs of each different human service agency and therefore could not easily be separated out as "transportation funds." Thus the major financial barrier was lack of accessible start up and operating funds to accomplish the transition from a fragmented system to a fully brokered system. Once

operational, this brokered system would be self-sustaining through collection of fees and use of existing funding sources (Title III, Medicaid, etc). No human service agency had funds to finance the transition, and DOT required a fully operational system before it could begin to fund transporation services. This "catch 22" situation led to insurmountable financial barriers.

The concern felt by human service agencies that relinquishing control of vehicles would reduce quality and timeliness of transportation service was an important barrier. This was "turfism" not in a political sense, but in the programmatic sense and was accepted as a legitimate concern during the deliberations of the TRAM Board. This barrier was reduced significantly by the ability of any agency to withdraw from the brokerage system within 30 days. Other aspects of turfism which are regularly seen as barriers to coordination were not part of the Madison County experience. By and large, most agency Directors welcomed the opportunity to remove this headache from their list of responsibilities and to participate in the brokerage system.

As was discussed previously, the majority of barriers which impeded the development of the brokerage system, centered around the fact that transportation existed within each agency in order to make sure that clients had access to programs. Transportation was seen by human service agencies as a program in and of itself requiring planning, training, specialists, etc. While at the same time, few local government or human service agencies in rural areas, had the technical experience to fulfill the requirements needed for this very specialized service.

There were a number of abstract barriers which impeded the development of the brokerage model. They emanated from the significant differences in the way that human service agencies and their funding sources operate as opposed to the administration of DOT programs. Although there were minor differences between each human service agency, there were major differences between the human service agencies and DOT around: plan development and review; interpretation of and approach to regulations; and the degree of local discretion and authority concerning use of funds.

DOT exists within a very tight regulatory framework which calls for very accurate and quantitatively measured plans frequently drawn up by architects before any work is started. For example, before a bridge is built, there is extensive planning and engineering work which results in a very specific set of work plans, PERT charts, standards for all materials used, etc.

Barriers to Achieving a Model Brokerage System (Continued)

Human service planning is a less exact science with less emphasis on exact plans and more emphasis on desired outcomes. Program development is very much a "hands on," "trial and error" process whereby a project director is hired and then he or she proceeds to develop a program based on the guidance of a plan tempered with the reality of circumstances as they present themselves. The polarity of approach to project development led to increased impatience on the part of the human service agencies for action, while alternately leading DOT to conclude that human service agencies didn't understand the necessity and value of planning. DOT complained about a "shotgun approach" to the development of a brokerage system, while human service agencies complained that "all we have done for four years is plan, plan, plan." Indeed, it seemed perfectly acceptable within Section 18 guidelines to plan and study; however, there was less than a welcoming attitude within DOT for using the monies to transition/implement into a brokerage system. For example, DOT would not allow the use of Section 18 monies to hire a consultant to implement a management information system and centralized dispatching utilizing a micro-computer, yet DOT encouraged the use of those same Section 18 dollars to study the cost benefit of various options outlined by DOT.

BARRIERS - RURAL CONCERNS

Not only were there significant barriers which emanated from the difference in orientation between human service agencies and DOT, but also there were significant barriers encountered in trying to adapt urban transportation solutions to rural problems. To wit, in urban areas, the problem in transportation is how to move large, uniform buses and subway cars, so that the routes are relatively fixed and buses stop at regular intervals. Thus, urban mass transportation is a technical, engineering problem requiring great upfront planning. The more variables that are quantified, the more successful will be the plan when implemented.

This is very different than the problem and the solution for rural areas. The problem in rural areas is how to move small numbers of people across large geographic areas with a flexible schedule. Rural areas are far less standardized in terms of need, resources, geography, types of transportation vehicles, and therefore, require different options and great flexibility in order to meet the public need for transportation.

An urban transportation planner has as his or her chief task, how to move X number of people from point X to point Y in the most efficient, cost-effective way. On the other hand, the chief task of a rural transportation planner/dispatcher/service provider/maintenance, and safety supervisor is to plan and oversee a system which can take different clients with different transportation needs and match them with existing agencies, volunteers, taxis, public carriers, etc. and have an emergency response capability to divert any vehicle off its intended course.

Thus, in an urban area, the plan that worked today will probably work tomorrow. While in a rural area, the plan used today will not work tomorrow. Each day requires resourcefulness and flexibility. A dispatcher needs a variety of options including volunteers, agency vehicles, other agency vehicles, fixed route and demand response capability as well as the ability to make mid-course corrections and make 180° turns on short notice.

Some of the problems faced by Madison County in implementing a brokerage system were specifically rural in nature. The first problem encountered was one directly related to expertise needed to establish the brokerage system. NYS DOT would allow the annual salary for the coordinator to be $15,000 or less. This presented a problem in that the experience and expertise needed was not available in the county and no person with the needed skills would move or commute to the county for the stated salary and

for a job that was to be abolished within one year's time. Consequently, a young college graduate was hired. This person gained "on the job" experience. After developing the skills needed, the coordinator was then offered a job in transportation at a much higher salary in a neighboring urban county. Thus, the expertise gained was lost and it was necessary to start all over again.

The second problem was also rural in nature--The lack of a large enough tax base that would provide local funds to fill in the funding gaps While the county provided numerous in-kind services - i.e. office space, secretarial help, phones and supplies - an actual cash outlay was out of the question until the program was proved successful. The county's elected officials also were concerned that if they placed funds in the program, that it might develop into a bottomless pit - one that would entail more and more dollars. Dollars that they did not have to expend.

The third problem was a philosophical one - Is transportation a "public good" or "right" in a rural area? Because of a rural county's inability to access its rightful share of public transportation dollars, public transportation is held in abeyance and looked upon as "something that is provided only in urban - largely populated areas" - not as something that is workable or affordable in a rural area. Thus few public transportation systems are initiated or are in place in widely spaced - underpopulated areas. Again, the real issue is lack of money.

In summary, there are a variety of barriers to enhancing coordination amongst human service agencies. This paper has not attempted to itemize each one of the barriers, but rather to concur with the literature in finding that indeed there are many barriers under each category (regulatory, administrative, bureaucratic, financial, legal, etc.) Indeed, the barriers seem to be endless, representing a Sisyphusian exercise of pushing the rock up the hill day after day.

WHERE IS MADISON COUNTY NOW?

Beginning in the second year of the project, DOT was able to increase its technical assistance to Madison County. As a result of their increased participation, DOT recommended that Madison County study other options for coordination, including consolidation, before trying to implement the brokerage concept.

So, instead of using the "trial & error" approach, implementing centralized dispatching, purchasing, maintenance, and management, TRAM was pursuaded to hire an outside consultant to study various options. These included:

1. No change
2. Consolidated agency -- no service changes. This would have a not-for-profit corporation formed to take over the administration of all human service agency transportation.
3. Consolidated agency -- minor service changes. This would include the coordination of human service agencies who had duplicating routes, and would use the resulting "free" van to provide additional demand response of service.
4. Partial public transportation. This would actually call for the purchase of new vehicles and open the system up to the public. Also, certain vehicles would have multiple uses thus reducing duplication and enhancing coordination.
5. Full public transportation. This would create a fully open-to-the-public transportation system.

The outside consultant proceeded to inventory all agencies with regard to transportation resources and current levels of demand. The resulting consultant report seemed to favor option #4 - Partial public transportation. Although this option was more expensive than the other alternatives, it would draw in out of county funds including Section 18 and New York State Transportation Operating Assistance that would more than offset increased costs resulting in lower outlays of funds by human service agencies. Most importantly, this option would generate 31,000 new one-way person trips.

In effect, the consultant found that by human service agencies co-mingling resources, they would save some money through elimination of duplication and by the centralization of certain functions. Not to mention the reduction in headaches! Also, the consultant found that by moving in the direction of opening the system up to the public, that important funding

streams both State and federal could be accessed and used to reduce the drain on program dollars of human service agencies, The county and human service agencies were pleased with the findings of the consultant, which concurred with the original goals as first conceived in 1979. It further provided concrete steps to attain those goals

RECOMMENDATIONS FOR INCREASING TRANSPORTATION COORDINATION

Judging from the experience of Madison County in the development of the Brokerage System and having followed the literature on other coordination efforts, it is evident that there are significant barriers to coordinating transportation. The intent of Section 18 clearly is to enhance coordination and increase transportation options for the transportation disadvantaged. In order to be successful, there needs to be an understanding by all parties concerned that the large majority of transportation disadvantaged people which Section 18 is intended to serve are the same clients served by human service agencies. Section 18 should therefore be used to augment the specialized services supplied by human service agencies under Section 16 (b)(2) which began historically because of the lack of available public transportation to date. Section 18 can be effectively used as a tool to stimulate human service agencies to plan and coordinate their existing resources and then to add on other vehicles and routes. This will accommodate the ever-increasing demand for public transportation services caused by the number of elderly and handicapped people who are living out their years within the general public rather than behind institutional walls.

The analytical key to successful implementation of Section 18, is increased deregulation. This will allow for a dramatic increase in the flexibility allowed each community in order to accomodate both the pre-existing human service transportation configurations as well as to provide for resourcefulness in meeting the increased need. This will help communities stretch the transportation dollar against a general decline in all public revenues needed to support public programs.

In the provision of rural public transportation, it is strongly recommended that the Department of Transportation see the Section 18 Program as totally different from urban mass transportation planning, design, and operations. Rural transportation has more of a need for daily flexibility than it does for a higher routinized system.

Of no less importance, is the need to ensure that funding is passed through quickly, directly to localities after satisfaction of the development of service plans by the locality. The regulations should reflect the need for local discretion and flexibility in decision making around transportation.

There should be a subsequent increase in the amount of technical assistance and the development of model programs to serve rural areas by State and federal officials. The reduced paper work and bureaucracy on a

State level brought on by decreased regulations should free staff time to provide more technical assistance. The model of administration of funds by AOA under the Older Americans Act should be used for consideration as a tried and tested means for ensuring that money is allocated in a timely way, prospectively, with a minimum amount of paper work and a maximum amount of local discretion.

Fundamentally, there are three major recommendations. First, on a federal level, Section 18 and UMTA 16 (b)(2) be block granted directly to localities utilizing revenue sharing formulas, allowing for prospective funding with fewer regulations. (This should also be implemented on a State level in the allocation of State transportation dollars.) Second, in the area of technical assistance, that the federal government maintain and increase its active posture in both the development of models for coordination and consolidation as well as its dissemination of "best practices" and new innovations such as computerization to improve the efficiency, safety and management of transportation systems. On a State level, DOT should maintain an active technical assistance and problem solving capability so as to assist localities in the development and implementation of their local transportation systems. Third, on a local level, local units of government and elected officials should mandate the participation of all agencies receiving public funds to participate in the coordination and consolidation strategies for the provision of transportation services so as to make best use of existing resources.

Rationale

The outcome of these changes would be to allow localities to make decisions on how best to utilize funds recognizing the vast differences in each rural area, and thereby recognizing the difference between providing mass transportation in urban areas and providing transportation assistance in rural areas. By providing prospective funding, local governments could be assured that transportation funds would be coming on a regular formula basis so that necessary staff could be hired and an agency established so as to ensure the development and continuation of transportation as a public good in rural areas. It is anticipated that local government could allow for participating agencies to utilize county contracts for purchasing of gasoline, parts, insurance, etc. so as to automatically increase efficiency through economies of scale and purchasing power.

Through reducing regulations to a minimum, localities would be

encouraged to utilize existing resources and non-traditional resources such as volunteers and other cost effective means of transporting people in rural areas. Similar to AOA Administration of Older American's Act funds, accountability would be built in by requiring that the money be used for transportation, administration, capital and operations with limitations on each category as well as the development of an Annual Service Plan that identifies needs and solutions, specific programs, and providers. By putting all of the funds into one large transportation fund (in effect a single source funding strategy) coordination would be assured. The key element of this proposal is that allocation decisions be made as close to the delivery of service as possible.

Equally important is the role of the Federal and State governments in the development of models, the dissemination of best practices, and the provision of on-site technical assistance and problem solving. The basis for this proposal is that when innovation occurs, technology transfer should occur as soon as possible to prevent "re-inventing the wheel" in program development. State and Federal officials are in a position and possess the technical expertise to perform this function. Rather than acting as an unnecessary layer of bureaucracy, they can act as facilitators for the development and improvement of public transportation in rural areas.

With decreased regulations, more predictable, prospective funding and increased technical assistance by DOT, a climate conducive to coordination will be created.

JAUNT, INC. A CONSOLIDATED SYSTEM THAT WORKS!

Submitted by:

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JAUNT, Inc.

A CONSOLIDATED SYSTEM THAT WORKS!

JAUNT, Inc is a consolidated regional specialized transportation system encompassing a five county area. The system is based in Charlottesville, Virginia, a newly urbanized area which is the center of most agency programs and the University of Virginia Medical Center. JAUNT was established in 1975 as a coordinated human services vehicle pool and expanded by 1977 to serve the rural public with the aid of a Section 147 rural demonstration grant. Today, JAUNT provides the following services:

- Administers the area's regional ride-sharing system
- Provides coordinated transportation for all human service agencies in the region
- Serves as the E & H specialized component to the Charlottesville Transit System (urban fixed route system serving the City of Charlottesville)
- Provides rural public transportation to three counties. Including six daily commuter-related routes with fixed origins and destinations and route deviations.
- Provides a demand-response system serving the rural general public, agency clients and elderly and handicapped rural and urban residents

FLEET:

JAUNT's fleet consists of: 12 standard 14-passenger vans; one lift van with three tie-downs; two body-on-chassis 17-passenger vehicles; three body-on-chassis lift vehicles that accommodate 3 wheelchairs and 9 seated passengers each; two automobiles (4-door sedans). In the future we will be replacing several of the vans with body-on-chassis small buses and increasing the number of lift vehicles.

We make maximum use of our vehicles by utilizing the vans for the six commuter routes in our daily service. This requires arranging to pickup and deliver these vehicles each day at work sites.

STAFFING:

JAUNT's administrative staff of five consists of: Executive Director; Assistant Director (whose duties are planner, operations coordinator, computer programmer, data expert); RideShare Coordinator; Business Manager (who handles grant management and all accounting functions); Secretary/Bookkeeper.

The operating staff are: Operations Manager/Dispatcher; Assistant Dispatcher (duties are backup dispatcher, data entry operator and keeper of operations records, back-up driver); Maintenance worker (washes vans, maintains buildings and grounds); Nine full-time permanent drivers; Six rural route drivers who only drive the commuter routes; a driver paid by the regional Aging agency through a Title V grant; several agency staff who are listed on our driver roster and approved to drive only for their agency; several substitutes and part-time drivers.

Driving staff are on split shifts. Only a skeleton in-town driving staff are on site during mid-day off peak times. Rural nutrition drivers usually stay in the field all day.

COORDINATION:

Over the nine years of its existence JAUNT has been striving to meet the goal of providing services to all agencies and being a totally coordinated system for human service programs. During the early years when funding was more plentiful, many agencies were unwilling to give up their own vehicles and drivers. After the Charlottesville area became urbanized, a Metropolitan Planning Organization was created to oversee all transportation activities of the urbanized area. The MPO drafted a policy which went into effect in January, 1984. This policy discourages agencies from purchasing their own vehicles or providing their own transportation, and defines JAUNT as the designated human service provider for the region. JAUNT was enjoined to become more flexible and sensitive to agency needs.

As a result of the MPO policy, the JAUNT Board evaluated services to agencies. It was recognized that, if agencies could not have their own vehicles, JAUNT must be able to provide all agency transportation needs. What we now offer is not only a coordinated system but a coordinated fleet. We offer agencies a van and a driver at an hourly rate; a van using the agency's driver at a per-mile rate. We offer the latter when agency clients cannot be coordinated with other riders. Some examples of how agencies are using our flexible service: In Charlottesville, JAUNT provides daily transportation to and from two Headstart centers. Headstart pays for the vans by the hour only while they are in Headstart's service. These vehicles are used in the interim for other agencies and demand-responsive service. In rural Fluvanna County where there is no other JAUNT service, Headstart provides a staff member to drive the JAUNT van. The driver turns in passenger and trip records once a week, brings the vehicle in for regularly scheduled preventive maintenance. Headstart pays a per-mile charge. JAUNT pays for gas, maintenance/upkeep and insurance.

JAUNT drivers keep trip sheets with extensive data. The information from the trip sheets is entered into our computer daily. The collective data is used to bill agencies and to provide statistics for internal management and reporting.

FUNDING:

Since becoming an urbanized area, JAUNT's funding balance has been undergoing yearly changes. For the 1984-85 fiscal year we are being funded as follows:

Administrative Expenses: Section 18 with state and local match.

Operating Expenses: Revenue; deficit funded by 60% Section 9 funds/ 40% Section 18 funds, with state and local match.

Capital: Funded equally by Sections 18 & 9 with state and local match.

RideShare: Section 18 with state and local match.

JAUNT's revenue is provided by contract charges to human service agencies and fares to individual riders. There are many sources of funding for human service transportation. Some transit systems receive these funds directly. In JAUNT'S case, the agencies receive the funds and pay JAUNT for service provided. We have direct contracts with Title XX (Social Services) and Title IX (Medicaid) at the state level. This authorizes and enables local agencies to be reimbursed by those funds for local transportation. Other sources of funding such as AOA (Aging, Title III), Rehabilitation services, Community services (Headstart) come directly from the local agency with whom we contract. We do not receive United Way subsidy directly, but many agencies pay us with funds provided by United Way.

In past years our cost to users has been very high due primarily to a small local match resulting in a low subsidy. This situation is improving because we are working closely with localities to increase funding and are receiving more funds from the state.

FINANCES & ACCOUNTING:

JAUNT has converted our chart of accounts to that required by Section 15. (As a Section 9 recipient, we are now required to do Section 15 reporting). All of our accounting procedures are either on the computer or will be on the computer by the end of 1984. We use our micro-computer (a Northstar Advantage) for all data collection, for billing, and for reporting. For accounting procedures we use prepared packaged software. We have a customized software program for data and billing.

In order to keep costs low we have implemented several cost-saving measures:

- Employ demand-response and agency drivers on split-schedules so we are not paying them to sit around during off-peak hours.

- Implement a careful preventive-maintenance schedule on vehicles. Most maintenance is performed on JAUNT's parking lot (we have no maintenance facility) by a mechanic who contracts with us by the hour at a very reasonable rate. He obtains parts for us through negotiation and at discount prices.

- Purchase office and sanitary supplies in bulk and, when possible, at a discount.

REGULATORY ISSUES:

In October 1982 JAUNT reincorporated from a not-for-profit 501(c)(3) organization to a public service stock corporation (stock owned by the participating local governments). We are classified as an instrumentality of several political subdivisions. This change enabled us to claim exemption from gasoline, sales and excise taxes. It gave the local governments more control over our operations.

We have been confronted by a number of regulatory issues related to our becoming an urbanized system. UMTA regulations were written with urban fixed-route systems in mind. Specialized transportation simply does not fit the regs! For example, strictly applied, the charter bus regulations might be interpreted to define all our agency transportation as charter service. We have circumvented this problem by stating in our agency contracts that any vehicle is open to the general public at any time and that we reserve the right to determine placement of passengers.

We have also needed to determine that out-of-the-area service to agencies, especially elderly and handicapped, does not constitute charter service.

We have attached several information pieces to this paper to further describe our system. These are:

- (1) Transportation services provided by JAUNT

- (2) Approved CAMPO Policy on Specialized Transportation for Human Service Agencies

- (3) Advantages to Human Service Agencies of Using the Coordinated JAUNT system for transportation needs.

APPROVED

CAMPO POLICY ON SPECIALIZED TRANSPORTATION FOR HUMAN SERVICE AGENCIES

BACKGROUND

In June 1983, the Charlottesville-Albemarle Metropolitan Planning Organization (CAMPO) was asked to include in the FY 1984 Transportation Improvement Program (TIP) a capital request of $28,000 from a local human service organization to acquire a lift-equipped vehicle for client transportation. Recognizing that action on this request would set a precedent for subsequent requests, CAMPO has developed a general policy statement which reflects its position and that of the member local governments regarding the continued cooperative delivery of human service specialized transportation services by the public transit providers in the area.

The chief provider affected by this policy is JAUNT, Inc. JAUNT, Inc. was organized in 1975 to pool existing human service agency vehicles under an independent *management. In 1982 JAUNT was reorganized as a public corporation.* JAUNT currently operates fifteen vans, one lift equipped, and provides specialized service in three jurisdictions ten hours a day, five days a week.

Federal and state transportation policies and programs, including Section 16(b)(2), in the eight years since JAUNT was founded, have placed increasing emphasis on support of coordinated human service delivery systems. Reductions in program funding make it more difficult for agencies to acquire vehicles for independent use, while funds for acquisition of capital equipment by transit providers, coupled with operating subsidies, have become more available.

Locally, this has resulted in less "pooling" and direct participation in the development of coordinated transit delivery by human service agency staffs, and a growth in a "provider-consumer" relationship between JAUNT and the agencies whose clients it serves.

POLICY

In order to clarify the transit objectives of the CAMPO and reenforce the climate of cooperation between transit providers and human service agencies, the CAMPO proposes the following statement of policy and actions relating to the provision of human service transportation in the region:

1. The CAMPO believes that the provision of transportation to isolated, handicapped, elderly and economically disadvantaged persons is a necessary service to be supported by local government.

2. The CAMPO believes that such transportation should be more efficient and cost effective when delivered through a coordinated system which matches varying agency resources with a variety of transit demands.

PROPOSED CAMPO POLICY ON SPECIALIZED TRANSPORTATION FOR HUMAN SERVICE AGENCIES.

The CAMPO recognizes there are circumstances when the independent provision of transportation for clients may be more affordable by an individual agency, and that the goal of a fully integrated system may not be achievable. However, it is the intent of the CAMPO to encourage actions which will generate conditions which make the coordinated delivery of transportation services in the urbanized area cheaper, or accessible to more persons, than independent service by separate agencies, believing this fragmentation will lead to higher public costs.

Therefore, the CAMPO supports future efforts to increase ridership and add resources to the general transit services operated by CTS, and the specialized transit services operated by JAUNT within the Charlottesville urbanized area on the part of those human service agencies which require transportation support to implement their community-based programs. CAMPO discourages actions which fragment and separate the delivery of human service related transportation within the region.

Actions to be encouraged include:

a. The continuation by JAUNT, Inc. of flexible and creative responses to the diverse transit needs of human service agencies and their clients, as exemplified by its new policy of van leasing for evening and weekend use.

b. Aggressive design and marketing of specialized transit services to human service agencies to maximize coordinated trips and shared costs while reducing unutilized vehicle hours and seating.

c. *The expansion of regular fixed route service into urbanized portions of the area and into rural portions of the region consistent with good management practice and available funds.*

d. The continued advocacy by JAUNT, supported by human service agencies, of funding support from local governments in order to maximize the drawdown of operating subsidies which produce lower costs of service for human service providers.

e. The development and implementation by JAUNT of an annual evaluation process, in which contracting agencies will participate, to assess the responsiveness of JAUNT's human service delivery system and to identify human service program modifications which will result in better coordination.

f. *The participation by human service agencies in coordinated specialized transportation systems outside the urbanized area in locations and at times when JAUNT service may not be available, suitable or cost effective.*

PROPOSED CAMPO POLICY ON SPECIALIZED TRANAPORTATION FOR HUMAN SERVICE AGENCIES

Actions to be discouraged include:

a. The request for new capital acquisition funds and/or operating funds for direct provision of service by individual agencies unless it can be clearly shown that existing transit providers cannot provide adequate service at required times and places for the same cost.

b. The withdrawal of any contracting agency from JAUNT before serious attempts are made to negotiate and resolve problems relating to service and costs.

c. The independent acquisition of vehicles intended for the transportation of individuals by human service providers in the area.

The CAMPO encourages the distribution of this policy to regional and local human service agency personnel and calls attention to the need for present and future appointed local government representatives, who are the policy-makers for local human service agencies, to be aware of the emphasis placed by this policy on coordinated and cooperative human service transportation delivery.

JMS/ebg

Draft, 8/83
Amended, 12/83
Adopted, 1/84

ADVANTAGES TO HUMAN SERVICE AGENCIES OF USING
THE COORDINATED JAUNT SYSTEM FOR TRANSPORTATION NEEDS

Following is a summary of the benefits JAUNT can offer along with a list of transportation service options:

RELIABLE, EFFICIENT SERVICES:

- A fleet of safely maintained vehicles with adequate backup capability and the ability to provide transportation throughout the entire planning district. Beginning in early 1984, JAUNT is converting the majority of its fleet to small-bus type body-on-chassis vehicles with low bus steps, a center aisle and stand-up head room. A fourth of these vehicles will be equipped with lifts and 3 wheelchair tiedowns each.

- Dispatcher on duty 7 A.M. to 6 P.M. daily to monitor all service, troubleshoot any problems, provide immediate response to schedule adjustments or changes and to communicate with agency personnel.

- Two-way radio contact maintained with every van at all times. (All vehicles are Motorola radio equipped).

- Twenty-four-hour-or-less demand-response scheduling for individual riders is available with door-to-door pickup and drop-off.

- Liability insurance to $2,500,000.00 per occurrence/person (with Traveler's Insurance Company, currently).

- A record keeping system to provide agencies with all necessary reporting data. This service is computerized for accuracy and quick response on our recently installed micro-computer system.

PROFESSIONAL EXPERIENCE AND EXPERTISE:

- Administrative staff with experience and training in specialized and rural Public Transportation, services to the elderly and handicapped, urban/rural planning, public administration, vehicle maintenance, driver supervision and training. JAUNT's Director serves on the Boards of National Rural and Specialized Transportation Associations.

- Carefully screened drivers trained in passenger assistance, first aid and safe driving techniques and experienced in providing special care for the elderly and handicapped.

- Bookkeeping staff with expertise in dealing with government grants and multiple-agency billing. Annual audits by an accredited accounting firm monitored by the Virginia Department of Highways and Transportation.

- JAUNT's entire system is monitored regularly by the Virginia Department of Highways and Transportation and the Urban Mass Transportation Administration.

- JAUNT is publicly owned, and run by a volunteer Board of Directors appointed by Charlottesville, Albemarle County and Nelson County, JAUNT's owners.

- JAUNT is the Planning District area's publicly designated transportation provider for the elderly and handicapped, for human services, and for rural transportation services. JAUNT's activities and plans are governed by the urban area's Transportation Improvement Plan and the rural area's Transportation Development Plan.

COST SAVINGS:

- JAUNT is A PUBLIC SERVICE ORGANIZATION run on a break-even basis. The Finance Committee of the Board of Directors prepares a budget aimed at keeping costs to users at the lowest possible level.

- Sixty percent of JAUNT's costs to operate (including administration) are subsidized by local, state and federal contributions. Users pay only forty percent of the cost of transportation.

- Use of JAUNT's system frees agencies from the hassle and expense of administering a transportation system, maintaining vehicles and supervising drivers.

- As a public transportation agency, JAUNT's vehicle operating costs are significantly lower than those of human service agencies because we pay no excise or sales tax, have an on-site mechanic, are able to purchase parts and supplies in bulk and at state contract rates, and have low insurance rates.

BENEFITS TO LOCALITIES, AGENCIES AND THE COMMUNITY AT LARGE:

- JAUNT's coordinated system allows the localities to provide subsidized public transportation services to the rural and urban elderly, handicapped and disadvantaged who are not sponsored by an agency, but must pay their own way.

- Wheelchair equipped vehicles allow for provision of specialized transportation services to persons with limited mobility at a reasonable cost.

- JAUNT's regular coordination with other public transit systems, with private providers, with City, County and regional planners, and with area human services agencies guarantees the community a cost-effective specialized transportation system. JAUNT's expertise in the transportation business assures localities and agencies that all transportation is provided with trained, qualified staff, safe vehicles and adequate insurance, and that all funding sources and transit innovations are utilized to maximum advantage.

THE FOLLOWING ARE OPTIONS JAUNT OFFERS AGENCIES FOR THE PROVISION OF TRANSPORTATION:

(1) Provision of a van and driver at an hourly rate with all related services (costs to users: $10.50/hour + $6.00 downtime in Charlottesville, Albemarle and Nelson. In Greene, Louisa and Fluvanna the charge would be $16.50/hour + $6.00 downtime.) JAUNT will also charge the agency by the individual rider rather than by the hour (based on the above - mentioned hourly rates.)

(2) Provision of a vehicle by the hour and all related services using a driver provided by the agency (either paid or volunteer). The driver must meet JAUNT's requirements (clean DMV driving record and required licensing and training). (Costs to users: $5.50/hour with no downtime charge in Charlottesville, Albemarle, Nelson and $11.50/hour in Louisa, Fluvanna and Greene.)

(3) For agencies that have their own vehicles and drivers, JAUNT will coordinate and dispatch those vehicles for a negotiable fee. We can also administer your transportation system (fee negotiable), train your drivers and arrange to clean and maintain your vehicles. We can help you schedule your vehicles for maximum efficiency.

(4) JAUNT's administrative and RideShare staff will arrange for shared-ride taxi services, carpooling, and other brokerage services for those not utilizing the JAUNT or agency vehicles. There is no fee for this service.

(5) For night and weekend transportation when JAUNT is not in service, we will provide vehicles for .35/mile to human service agency groups or handicapped riders. All drivers must be certified by JAUNT (as in number 2 above).

(6) If none of the above meets an agency's needs, we will work with that agency to attempt to provide a service that is reasonable and within the agency's budget.

Transportation Services Provided by JAUNT

January, 1984

Description of Service	Persons Carried	Who pays or sponsors	Schedule	JURISDICTIONS WHERE PROVIDED: Ch'ville City	Albemarle County	Nelson County	Fluvan Count
NUTRITION Group transportation to and from nutrition sites and delivery of homebound meals. Weekly or monthly shopping trips for participants as authorized.	Eligible Elderly	JABA	Most sites: 3 days/week 7-8 - Shopping as authorized by JABA	Armory Highrise	Keswick Esmont N. Garden (Keswick & N. Garden brought into Ch'ville)	Shipman	None
MEDICAL TRANSPORTATION Individual or group transportation for medical appointments at U.Va. Hospital, Martha Jefferson Hospital, & Private clinics or doctor's offices.	Medicaid Eligible: Elderly Eligible; Private individuals self paying (Elderly or handicapped or rural); Health agencies such as the American Cancer Society, the American Kidney Foundation, U.VA. Dept. of Social Services.	Medicaid through authorization of the Thomas Jefferson Health Dept. Authorized & sponsored by JABA referred by nursing homes or self referral. (Primarily wheelchair bound.)	Demand-Responsive with 24-hour notification during JAUNT's operating hours Scheduled with JAUNT's other coorinated services.	All Services	All Services	None	None

Description of	Persons Carried	Who pays or sponsors	Schedule	JURISDICTIONS WHERE PROVIDED: Ch'ville City	Albemarle County	Nelson County	Fluvanna County
U.VA BLUE RIDGE HOSPITAL SHUTTLE Group transportation of U.VA. medical staff and patients between the two facilities.	Staff & patients authorized by U.VA - P.V.C.C. students may be authorized to ride if they board at Blue Ridge Hospital	The University of Virginia Hospital through contract	Fixed route schedule with 30 minute headways 6:30 AM to 5:30 PM 1 Van	Yes	Yes	No	No
WORKSHOP V Group transportation for clients of workshop V - either through routes coordinated with CAARC or on the Crozet van. Some participants coordinated with other agency services	Participants of Workshop V (Handicapped)	- Dept. of Rehab. Services - Va. Dept. for the visually Handicapped - Workshop V (occasionally) - A few clients pay for their own rides	1. Daily in-city route to & from the workshop. 2. Daily subruban route to & from the workshop. 3. Daily rides on other van routes to & from the workshop.	Yes	Yes	No special service but Workshop participants may ride commuter vans	No
ALBEMARLE SCHOOLS MIGRANT PROGRAM Group transportation for children of migrant workers to special spanish speaking classes.	Migrant School children	Albemarle County School System	Fall months only- transportation to & from school daily	No	Yes	No	No
REGION TEN COMMUNITY SERVICES Group transportation for clients of Region Ten Clinic and Day Activity programs	clients of Region Ten Community Services Board and the Blue Ridge Mental Health Clinic	Region Ten Community Services Board and Medicaid	Blue Ridge Clinic, - weekly service - Activities programs weekly service Night College, - occasional evenings	Weekly Clinic Service	Weekly Clinic Service	Nelson County Clinic Activities	None

Description of Service	Programs Carried	Who pays or sponsors	Schedule	JURISDICTIONS WHERE PROVIDED: Ch'ville City	Albemarle County	Nelson County	Fluva
EMPLOYMENT PROGRAMS Group transportation for participants of job skills training programs to work sites, training programs, seminars, workshops & to rehabilitation programs. Some individual trips to work sites coordinated with other agency programs.	Adults and teenagers who qualify for skills training programs and for summer youth employment programs	- Monticello Area Community Action Agency - Multi-purpose Service Center - Career Exploration - Charlottesville City Schools - Community Diversion Incentive Program	No ongoing schedule-trips scheduled as needed in advance.	Yes	Yes	Yes	Yes - limit basis
SPECIAL SERVICES FOR THE ELDERLY AND HANDICAPPED Group trips for residents of housing projects for the elderly to medical, shopping and programs. Individual trips for elderly and handicapped coordinated with agency transportation. Transportation for 1 to 3 persons in the Lift-equipped vehicle to and from essential services.	Elderly residents of such places as the High-rise, Windham, the Meadows, Elder-Care Gardens, Jefferson Lodge, Riverdale, Midway Manor, Tarleton Square. Handicapped and semi ambulatory residents of the city and county	- Windham - Medicaid - JABA - Red Cross - Other senior citizen groups and private sponsors - some private or self-pay or assistance from families of nursing home residents	Group trips are scheduled as needed - Shopping trips by JABA scheduled in tandem with nutrition services Shopping trip to Reid's Market, Tuesdays and Fridays, 11:00-12:00 - other trips 24-hour demand-responsive	All Services	All Services	Available but not being fully utilized	None

Description of Service	Programs Carried	Who pays or sponsors	Schedule	JURISDICTIONS WHERE PROVIDED: Ch'ville City	Albemarle County	Nelson County	Fluvan Count
EDUCATIONAL PROGRAMS							
Group trips for participants of educational programs or institutions such as: Charlottesville Schools (special services) & PVCC	Students registered with and/or referred by educational institutions	- The school systems pay for some students. - Albemarle Schools - Ch'ville Schools - Some students pay own transportation costs - Some students paid for by Peidmont Regional Education Program	Trips scheduled as needed	All Services	All Services	NONE	NONE
SERVICES TO CHILDREN AND YOUTH							
Group trips for children to and from day care and educational programs.	Head Start to City Centers	Head Start MACAA	Daily to & from Head Start on the school schedule	All Services	To centers in the city	NONE	Serv. begin fall 1984
	Preschool day care (To such places as Westminister Barrett Center, etc)	Charlottesville Dept. of Social Services & some Parents	Daily, morning and afternoon	All Services	All Services		NON
	After school daycare (from schools to public & private after school care centers)	Parents and various agencies	Daily route-some children ride daily, some occasionally	All Services	All Services		NONE

Description of Service	Programs Carried	Who pays or sponsors	Schedule	JURISDICTIONS WHERE PROVIDED: Ch'ville City	Albemarle County	Nelson County	Fluvanna
RURAL PUBLIC TRANSPORTATION							
A. COMMUTER ROUTES Group vanpool service daily from Rural Albemarle and Nelson counties to Charlottesville and return	Primarily work commuters but some agency clients also ride	Paid for by riders via daily fare or 20-ride passes Agencies pay for their riders	(1) Schuyler to Charlottesville 5:30-6:30 A.M. 3:45-4:50 P.M. (2) Shipman to Charlottesville 5:30 - 6:30 AM 3:30 - 4:30 PM (3) Piney River to Charlottesville 6:40 - 7:45 AM 3:40 - 4:45 PM 3 new routes, fall, 1984	Destination only	2 vehicles pick up passengers in southern Albemarle	2 vehicles start in Nelson {Esmont (Albemarle County) to Charlottesville Colleen (Nelson County) to Charlottesville Stanardsville (Greene County) to Ch'ville	NONE
B. CROZET ROUTE Services to rural public, elderly and handicapped riders to and from Crozet	Private citizens (primarily residents of Windham and Crozet) and clients of Workshop V, CAARC, other programs; Medicaid clients.	- Self pay - CAARC - Medicaid - Rehab services - Other agencies	Monday/Wed/Friday ~~Weekly~~ from Crozet: 9:30 to 10:00 AM. to Charlottesville Return 4:00	Destination only	Albemarle County Service	No	No
C. GROUP SERVICE TO RURAL PUBLIC Prescheduled group transportation to needed services or locations within the area	Any civic, church, private citizens group, senior citizens program, business group, agency.	self pay or sponsorship by agency, institution, or business	scheduled at least 2 days in advance	No	Yes	Yes	No

Description of Service	Programs Carried	Who pays or sponsors	Schedule	JURISDICTIONS WHERE PROVIDED: Ch'ville City	Albemarle County	Nelson County	Fluvan
RIDESHARE Technical assistance and promotion to assist with carpooling and vanpooling in a 15-county area to all persons commuting into or within the planning district. A computerized match program provides individuals with names of other persons with like commuting patterns	technical assistance service provided to businesses or individuals Priority is to work commuters but program also serves other commuting needs	This program is funded entirely by local, state and federal funds.	No vehicular service provided-only technical assistance	Yes	Yes	Yes	Yes

RECORD KEEPING AND STATISTICAL REPORTING

As a part of its services to agencies, JAUNT assist with the trip authorization process, refers persons to other authorized providers, and keeps records required by agency funding sources.

A file card is kept on each regular rider. JAUNT drivers keep detailed trip sheets detailing trip length, origin and destination of trip, type of trip, who pays, category of rider. JAUNT is State certified as a provider of Title XX and Medicaid clients.

LW:dm
Revised
1-29-84

THE STRUCTURE OF SEPTA PARATRANSIT SERVICES

Submitted by:

Suzanne Axworthy, Southeastern Pennsylvania Transportation Authority, Philadelphia, Pennsylvania

THE STRUCTURE OF SEPTA PARATRANSIT SERVICES

Introduction

In Philadelphia, SEPTA Paratransit offers its handicapped patrons door-to-door trips on the basis of advance reservations. Patrons register with SEPTA, purchase tickets from SEPTA, reserve trips through a broker and travel on sedans and vans operated by subcontracted carriers. Paratransit is provided, therefore, through a three-tiered organizational arrangement. Each entity in the program has assigned functions and specific interactions with the patrons, as outlined in the attached chart.

It is evident that the Southeastern Pennsylvania Transportation Authority (SEPTA) chose to obtain the services of other entities for the activities which fall most closely into the category of operations. SEPTA held for itself those activities which determine the course of the program and final decision about who will participate. Within this context, SEPTA has had almost three years of experience with the roles played by organizations selected to participate. This discussion attempts to convey some of the results of that experience. At the same time, SEPTA's experience has occurred in a specific setting, one which may or may not have application elsewhere. SEPTA's results, therefore, must be considered from the observer's point of view.

Service Design

First, then, a brief description of the service arrangements. SEPTA organized Paratransit in Philadelphia, having decided to pursue door-to-door service for the handicapped as the major focus of its special efforts to respond to federal "Section 504" requirements for recipients of Department of Transportation funds. It must be noted that SEPTA also operates 450 lift-equipped buses on some 30 routes, and has some, mostly station, accessibility to the rail systems it operates. SEPTA Paratransit was designed to operate at a reasonable level of comparability with fixed-route services in a service area of 140 square miles with a population of about 1.7 million. SEPTA designed the service, with extensive advice from its Advisory Committee for the Elderly and Handicapped -- a group which has met regularly with SEPTA staff for ten years. Organizationally within SEPTA, Paratransit is administered from the Special Services Section of the Program Planning and Development Department. The service grew out of the special efforts planning and remains within the Planning and Development Department of SEPTA, rather than Operations. Assistance is provided by a number of departments including Finance, Legal, Marketing, Purchasing and Transportation. Paratransit staff includes a program manager, project supervisor, etc.

ORGANIZATIONS AND RESPONSIBILITIES

PATRONS	ORGANIZATIONS		
Register Acquire ID and Brochure Purchase Tickets	Patrons' Registration Sales of Tickets to Patrons Information: 574-2780	← SEPTA: SPECIAL SERVICES →	Management Planning Evaluation Funding
Phone Requests for Trips 627-7078	Take Phone Requests for Trips at 627-7078 Plan Schedules of Carriers	← WHEELS, INC. (BROKER/COORDINATOR) →	Contract with SEPTA Operations Management Prepare Subcontracts with Carriers Arrange Agencies' Purchase of Service Financial and Operations Report
Be Ready at Door at Prescheduled Time Show ID Card Submit Ticket as Fare Payment	Radio Dispatching Driving and Patron Assistance Provide Vehicles and Equipment	← CARRIERS → Accessible Transportation for the Disabled Ashbourne Transportation, Inc. United Transport Systems, Inc. Yellow Cab Company Care & Emergency, Inc. Professional Transport Services	Subcontract = Contract with Wheels, Inc. On-Street Operations Reports and Documents

SEPTA's roles are to design, manage, evaluate, market and -- most importantly -- to fund Paratransit. The plans for Paratransit grew out of Transition Plan efforts. While the Access system in Pittsburgh served as a basic model, SEPTA's plan introduced centralized intake and scheduling as a different application of the brokerage approach. SEPTA also asked for private carriers to bid on the service at per-hour rates, rather than at the per-trip rate to which they were accustomed. The Paratransit design calls for providing trips at reduced fare to eligible persons to the extent that funding can support those trips. Initially, eligibility was available only to the Transportation-Handicapped, who are generally defined as persons whose physical or mental disabilities prevent them from using the fixed-route system. SEPTA Paratransit has also become eligible for reimbursement for trips by the elderly through State Lottery funds administered by Pennsylvania Department of Transportation. The service is, therefore, now available to persons aged 65 and over (non-handicapped elderly), also at reduced fare. Finally, door-to-door trips can be requested by members of the general public who must, however, pay full fare. To evaluate the program design, it is important to remember that SEPTA operates the third largest fixed-route bus and rail system in the United States. On that system, handicapped and elderly persons ride at reduced or -- for the elderly who travel in other than peak hours -- free fare.

Paratransit is also designed to coordinate human-service agency transportation and to fill needs unmet through other service networks. Pennsylvania has an impressive record of funding medical transportation services for clients whose eligibility is determined by the Department of Public Welfare. In Philadelphia, carriers have supplied hundreds of thousands of such trips annually. Other organizations, public and private, had systems in place for their clients prior to the start of Paratransit service. A number of agencies had acquired and were using equipment procured under the Section 16(b)(2) program. In addition, the transportation program of the Department of Aging had been and is supporting a system of trips for Philadelphia clients of senior centers. Paratransit was designed to offer all such systems an opportunity to coordinate services through SEPTA, as an alternative to operating them individually.

To fund Paratransit, SEPTA has allocated Operating Budget funds which amounted to $2.7 million in Fiscal Year 1984 and $3.8 million this year. The budget specifies expenses for brokerage, transportation (carrier) and SEPTA administration, with income to be realized from the farebox, grants and the operating budget

allocation. In addition to the Lottery-based grant, Paratransit has been awarded an Innovative Techniques and Methods grant by UMTA under Section 4(i) of the Urban Mass Transportation Act of 1964, as amended.

Contracted Activities

The decision to operate through external entities was, obviously, a fundamental one in organizing Paratransit. SEPTA arrived at this decision after giving consideration to federal and state guidelines, the availability and experience of operators, the hoped-for lesser cost of contracted activities, and the probable speed and ease of implementation. Operating through external entities called for SEPTA to contract with a broker/coordinator and for that broker in turn to contract with operating carriers. This process took SEPTA into the private marketplace in seeking a broker and carriers. The broker/coordinator was foreseen as manager of day-to-day operations through its contracted carriers. The brokerage was also established to work out purchase-of-service agreements with entities which sponsor client rides via Paratransit. The broker designs all vehicle trips on the basis of requests received and the level of service available. Ultimately, the broker processes all paperwork records of service as verification underlying its submission of invoices to SEPTA. The carriers were foreseen as able to supply vehicles, radio equipment, trained drivers and dispatchers, and maintenance of equipment. Through this approach, SEPTA hoped to be able to implement Paratransit service much sooner than possible through internal procedures for equipment procurement and operational training of schedulers and the dispatching/ driving labor force.

This hope was realized. Although the broker and carrier procurements took some time, service was in place as a pilot project in November of 1981 and citywide by March of 1983. From procurement to implementation of citywide service took one year, during which time the pilot project continued to operate. The successful bidders for the citywide service included a private, non-profit organization as broker/coordinator and four carriers -- three being for-profit and one non-profit.

The broker, Wheels, Inc., had been the pilot project contractor. Wheels has been a provider of social-service medical trips for the indigent for almost 25 years. Since 1976, it has also provided contracted services for human-service organizations. As the SEPTA Paratransit broker, Wheels is not permitted to act as a carrier. The broker provided SEPTA with a staff experienced in

administration and scheduling of transportation for specialized purposes. The carriers had similarly branched out into paratransit activities from their businesses as school and ambulance carriers, and brought to SEPTA a staff experienced in providing door-to-door, driver-assisted trips, as well as a fleet of both sedans and vans. Two other carriers were added during the first year of citywide service. In the current fiscal year, the same participants are providing the service under one-year contract extensions.

All of the contracts are scheduled to expire at June 30, 1985. Each agreement is a cost-reimbursable contract with a not-to-exceed ceiling. The broker is reimbursed for management services; each carrier is reimbursed at a stated rate per vehicle hour of operation. The carrier contracts are drawn with Wheels, Inc., with SEPTA approval. The broker's Scope of Work under its own contract with SEPTA requires Wheels to impose on the carriers SEPTA's procedures and standards for provision and operation of the service. The carrier procurement was largely accomplished by the broker following an initial request for statements of interest and qualifications issued by SEPTA.

Overview of Results

Through the procurement processes, the necessary working relationships for delivering Paratransit service were put in place without a protracted orientation period. SEPTA and the broker had refined their interactions through the pilot project; the carrier for the pilot project remained in service; and all carriers were essentially equipped to start operation immediately.

Given this structure, an evaluation may take account of many diverse facets. As noted earlier, the local environment was a major factor in SEPTA's decision to operate through contractors. Obviously, the assignment of day-to-day operation to external organizations has given SEPTA the opportunity to maintain, to a certain extent, the perspective of an outsider in reviewing results. SEPTA has also had some time to devote to planning for the future, being freed of much of the responsibility of day-to-day operation.

Any review of the results of the structure must also make reference to the level of service provided and the costs experienced. SEPTA Paratransit recorded 165,757 one-way passenger trips in Fiscal Year 1984, at a productivity of 1.33 passenger trips per vehicle hour. The carrier charges averaged

nearly $19.00 per vehicle hour, and nearly $15.00 per one-way trip. Carrier costs represented 80% of all costs, brokerage costs were 14% of expenses (of which 20% was for administrative, rather than service-related, activity), and SEPTA administration accounted for 6% of all costs. Operating ratio (farebox contribution to meeting transportation costs) was about 6%.

Three Major Problems

For the purposes of this review, SEPTA's experience suggests that three major issues may be worth consideration by others who are contemplating using a similar service structure. SEPTA's responses to the problems, and its actual or proposed solutions, all have implications for revising the existing structure.

1. One type of problem became an issue due to external forces. The private carrier market challenged SEPTA's authority to operate and regulate paratransit services, especially while using private carriers. This issue was settled through legal review at the Pennsylvania Public Utility Commission and Commonwealth Court in favor of SEPTA, whose operating authority comes from Act 450 of the Commonwealth of Pennsylvania. Private carriers are regulated in Pennsylvania at the state level through the Public Utility Commission. SEPTA's goal of coordination for efficient specialized transportation has not been notably supported by the established and extensive private carrier group in Philadelphia. It must be noted, however, that those same carriers have been eager to participate as carriers for the SEPTA Paratransit program. That eagerness to participate continues as SEPTA moves closer to taking on some major agency-sponsored purchase-of-service programs.

As a corollary to this ambivalence on the part of private carriers, most have been reluctant to bid their services at a per-hour rate although, in the end, each has done so. For its part, SEPTA has decided to continue to seek hourly-based bids for all or most Paratransit service.

This type of problem is important to mention, but far from unique or specific to Philadelphia and its specialized transportation milieu. SEPTA's response has been, perhaps, more easily accomplished than would be the case with smaller, non-transit entities that lack the resources of large and experienced legal and financial departments. The other two major problems to be addressed here may be of more immediate interest to this forum at this moment in the nationwide development of specialized transportation systems.

2. SEPTA is more concerned about its problems with productivity. While Paratransit's level of 1.33 trips per vehicle hour is not unusual for the industry -- and especially among services provided for individuals, rather than for groups -- it is far below SEPTA's goals: 1.7 was a 1984 goal and remains to be realized; 1.5 is an ultimate goal for individual-trip service in 1985. At this time, about 13% of the service operates (during Paratransit peak hours) at a productivity higher than 1.5, but about 50% of the service (off-peak, evenings and weekends) falls below 1.0 productivity. While serious in itself, low productivity is of especial concern to SEPTA Paratransit because demand by the handicapped far exceeds the volume of trips which the budget will support.

The excessive demand occurred after only a few months of citywide service. Unlike the experience of the pilot project, in which demand grew gradually, requests mushroomed in three months to the level which SEPTA had projected attaining after a full year. In meeting this problem, SEPTA found that the brokerage system was an extremely useful mechanism in the short run, but less responsive for long-range solutions. The broker experienced the excessive demand as an overload of telephone-request lines (and accompanying loud public outcry about the difficulty in reaching the reservationists by phone). The broker was able to respond relatively quickly with additional phone-line equipment, a taped-message response to place callers on hold, and shortened phone-intake hours. The broker also experienced the results of overdemand when it found itself called on to build larger and larger schedules each day. Again, the broker was able to respond effectively when SEPTA decided to "cap" the daily trip volume at the number of trips per day which the budget could support.

The more sophisticated responses to the demand and productivity problems were beyond the resources of the broker to implement easily and effectively. SEPTA has identified improvement of scheduling techniques as the response which will, ultimately, begin to attain greater productivity and thereby serve more of the demand. Under SEPTA's close direction, the broker has started to use revised scheduling techniques which build on Paratransit experience. Specifically, recurring trips are given a "subscription" status, and used to form the skeleton of each day's activity. Random trips are added to the extent that vehicle capacity and hours (held within the budget) permit. For the long range, SEPTA is determined to automate the trip request/scheduling process, and is well into investigation of a computerized system which will serve that purpose and provide a

data management and reporting system. For this discussion, it is important to note that SEPTA, acting internally without a broker, would probably have introduced revised scheduling much earlier. At arm's-length, it has proven difficult to introduce vastly revised procedures into the broker's work methods. Moreover, adding new responsibilities always carries with it the possibility that the contract might require revision -- a time-consuming process.

To be complete, it should be noted that the broker introduced computer-assisted scheduling, only to find that the system failed (like many others which specialized services have tried). At this time, the client files remain computerized, but most scheduling and reporting activities are not automated in the broker's office. This has led to another disappointment for both the broker and SEPTA, in that most analysis of reports must be accomplished by SEPTA, using its own staff and automated equipment. While this solution meets the problem, it is not the division of effort between the broker and SEPTA which was foreseen in designing the project.

3. As the third major problem to be addressed here, SEPTA has reservations about the effectiveness of control of service-delivery through its three-tiered structure. All of the obvious control mechanisms are in place: the contracts specify service standards for both equipment and procedures, as well as requirements for service monitoring and supervision. Penalty mechanisms are also applicable for easily-verified lapses in meeting standards. In addition, patrons polled recently expressed greater satisfaction with the service than they did when polled six months earlier: 96% rated Paratransit service promptness and efficiency as excellent, good or fair. Concerning safety, courtesy and comfort, 99% rated Paratransit as excellent, good or fair. Nevertheless, Paratransit management at SEPTA has fielded enough complaints and observed enough of the operation to know that there are many lapses in standards. Too many, by the standards which SEPTA imposes on its own labor force. The three-tiered structure makes it difficult to monitor, supervise and enforce the standards for each activity in a timely way. In other words, since SEPTA cannot and does not field a full supervisory force to oversee the telephone, scheduling, driving, reporting and all other activities of the broker and the carriers, too many lapses are identified after the fact.

SEPTA is coming to the judgment that reliance on a broker (which manages the carriers) to supervise carrier service closely is unrealistic under SEPTA's particular circumstances. While it is

easy for the broker to inspect a given number of vehicles each month, for example, it is difficult for the broker to send out a street-supervision force to review even a reasonable sample of a typical weekday's 500 or 600 trips. While it is easy for SEPTA and the carriers jointly to present extensive driver-training classes -- and this is done -- it does not become apparent to SEPTA until long after the fact how effectively the better drivers are used, nor does SEPTA have much to say about how carriers provide incentives to encourage the driving force to improve performance.

In facing these problems, SEPTA has probably had to expend more management effort than anticipated to respond to public complaints, to suggest methods to the broker and carriers about ways to improve their performance, and to actually monitor all activities. It seems likely that, had all of the broker functions been undertaken by the SEPTA labor force, all standards would have been respected and enforced more vigorously than either the broker or the carrier managements have demanded.

Future Decisions

For SEPTA, the procurement cycle for Fiscal Year 1986 is almost at hand. Since all Paratransit contracts must be rebid, SEPTA has the opportunity to restructure the project to overcome problems and effect improvements. Full evaluation of the program structure remains to be made. At this time, however, for cost reasons, it appears that Paratransit will continue to use private carriers. A decision on continuing to use a broker/coordinator is pending. A prime factor affecting that decision will be SEPTA's success in installing an automated scheduling and reporting system internally. It has also become apparent over the last year that major human-service organizations seeking to coordinate their special transportation services tend to approach SEPTA Paratransit management directly, rather than through the broker as intended under the project structure. Among other reasons for this, SEPTA has status as an actual and potential recipient of state funds which the broker does not enjoy in its own name. The result is that the organizations perceive dealing with the broker as an unnecessary intermediate step. Another important factor in a decision concerning use of a broker is SEPTA's belief that three years of experience have given SEPTA's managers an opportunity to learn how to schedule paratransit service and how to work with and supervise private carriers.

Whatever the outcome, SEPTA is convinced that the Paratransit service is effective, that it should be continued and that the

experience of contracting has put program directors at SEPTA on firm ground for undertaking more activities internally. Combined with the potential cost savings from a fully automated operation, an internalization of the broker's functions would lead to a more economical system with more money available for transportation service.

COMMUNITY VIDEOTEX-PARATAXI SYSTEMS

Submitted by:

Robert W. Behnke, Aegis Transportation Information Systems, Honolulu, Hawaii

ABSTRACT

The videotex industry is expected to reach $25 billion per year within the decade, yet few in the transportation industry know very much about it. Videotex will enable consumers to use their TV sets to bank, shop, pay bills and receive up-to-the-minute information on stock prices, weather, community events and transportation services. It will also permit communities of almost any size to offer safe, economical, door-to-door parataxi services to their citizens, including the elderly and handicapped, the young and the poor.

By providing convenient alternatives to the single-occupant auto, videotex will permit cities and towns to reduce traffic congestion, air pollution, gasoline consumption, parking problems and government spending. It will also provide a variety of new business, education, recreation and employment opportunities. Equally important, most of the costs of providing videotex-transportation information services will be paid for by the private sector.

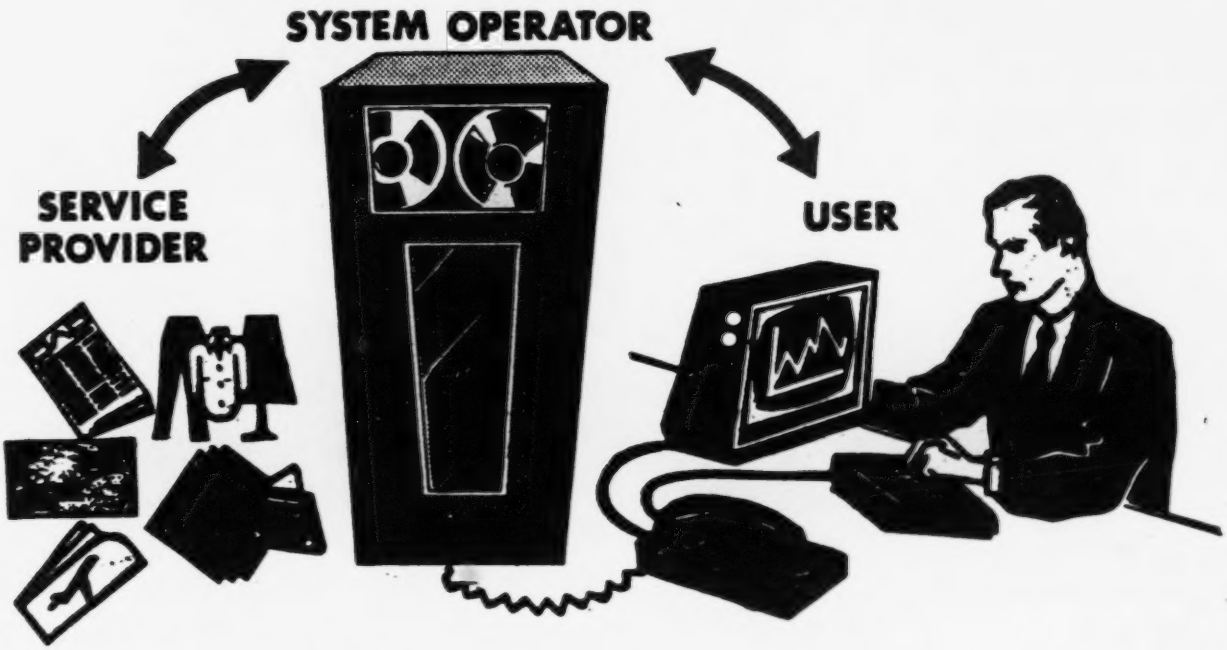
BACKGROUND

The personal computer, word processor, video game machine, and videotex terminal are products of the microcomputer revolution. By attaching a microcomputer-keyboard device to an ordinary TV set, one can create a

low-cost computer terminal that can not only display numbers and text, but also multi-color graphics.

With this terminal, one can communicate over telephone lines, TV cable or radio links with other videotex terminals or with a wide variety of remote computers. This will permit home-shopping, electronic publishing, tele-education, electronic mail, bank-at-home and many other "third wave" services.

The following illustration from Fortune (November 1983) describes how a videotex system works.



How the Systems Perform Their Magic

Home transaction systems use computers that take orders from thousands of customer terminals and respond by sending information to the customers' home television or computer screens. News reports are stored in the central computer and delivered directly to subscribers. Other information, like the sorry state of your checking account, comes from remote sources, with the central-system computer serving as a "gateway" between the user and the service provider. Consumers can buy advertised goods and services with credit cards or bank cards.

A major difference from conventional television broadcasts is the 24-hour availability of electronic data bases and the ability to select, at any time, precisely which information is to be displayed. The user can carry on a dialogue with a remote computer, asking quesions, replying to the computer with a simple "yes/no", or with new information to be processed by the computer.

Most of the pioneering work in videotex has been done outside the United States. The governments of the United Kingdom and France have spent hundreds of millions of dollars to develop and test their technologies. In 1981, there were over 15 thousand videotex terminals in the United Kingdom and it led the world in this statistic. Since that time, however, France has taken the lead and now has over 250 thousand videotex terminals in operation.

Moreover, over 12 thousand videotex terminals are being installed in France each month as part of the PTT's program to eliminate telephone books and to reduce the cost of directory-assistance services. This is merely the first phase of the French's PTT's plan to install up to 30 million terminals throughout the country during the next decade.

The following are black-and-white copies of some of the color TV displays available on "DataVision", the Swedish videotex system which is based on Britain's PRESTEL technology.

Banking

There are many obvious applications for DataVision in banking both in terms of retail and corporate services. Applications are bank-at-home, banking-in-the-office and branch information systems for transactions such as:

- Account inquiries
- Funds transfer
- Bill payments
- Product/service manuals
- Financial news services
- Electronic mail
- Inquiries into customer files
- Calculations

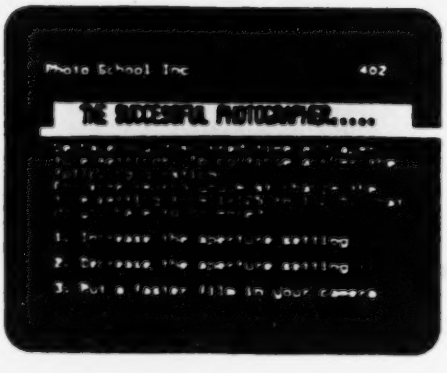
Advertising

The DataVision terminal/TV-set is a very effective marketing tool. Advertising and promotions can be presented using a picture of the product and text relating to special price offerings.

The system has the capability of executing purchase orders and initiating electronic funds transfer for payments. The customer can communicate directly with the system to give shipping instructions.

Education

DataVision is well suited for self-study training. The student takes an integral part in the training process at his/her own pace. Instruction pages can be mixed with multiple-choice questions giving immediate feedback on results. Quizzes can be built into the system with automatic record keeping of results, if desired.



Travel and Tourist Information

Travel agencies can use the DataVision system to interface with airline reservation systems for:

- Timetables, local and global
- Information on destinations, domestic and foreign
- Ticket reservations

For tourist information DataVision can provide direct access to systems that provide:

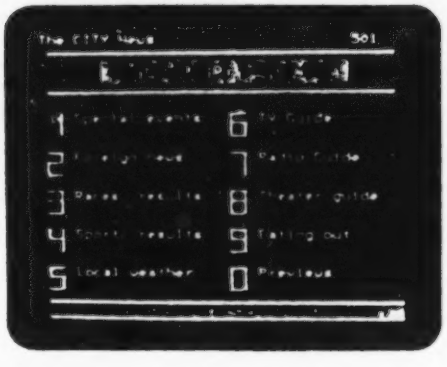
- Hotel reservations
- Car reservations
- Local transportation schedules
- Local entertainment guides

News media

The videotex technique is spreading quickly in the publishing industry. DataVision, with news pages updated within minutes, is a great complement to the traditional "print-on-paper" news media.

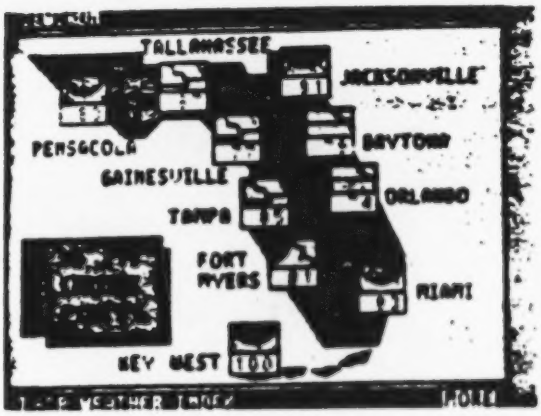
These areas are suitable for DataVision:

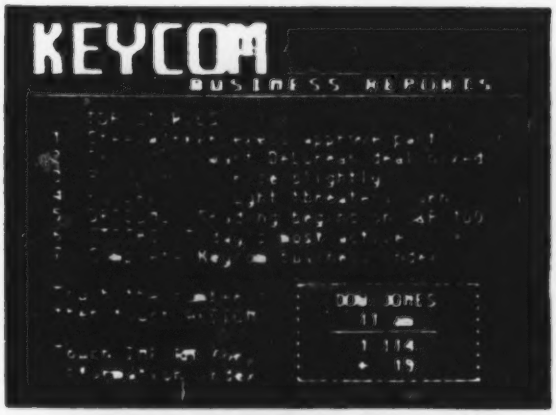
- News briefings
- Weather forecasts
- Sports results and statistics
- TV-guides
- Movie and theater directories
- Restaurant guides
- Local events briefings

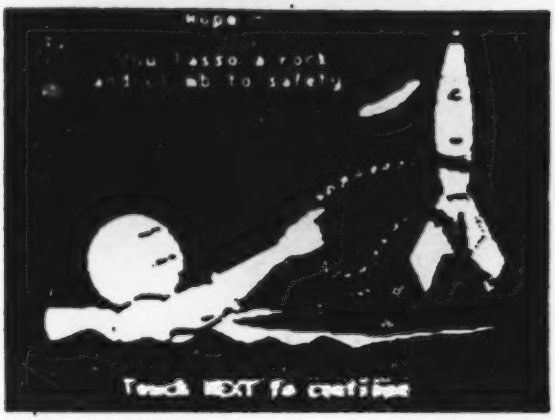


At first glance, the quality of these "pages" or "frames" seems crude. As a Honeywell expert observed, "There is no sound or animation (yet). The colors are garish, and the figures appear to be made from children's blocks. It is a far cry from network television. But the purpose of videotex, informing, is far from the purpose of network television, entertaining."

A new videotex standard called NAPLPS (North American Presentation-Level Protocol Syntax), which has been adopted by most U.S. equipment manufacturers, produces higher resolution graphics. The NAPLPS standard is based in large measure on a videotex system developed in Canada called TELIDON. Some black-and-white copies of the NAPLPS "frames", which were also printed in Fortune, are shown below.







Sample pages *from forthcoming home transaction services in Florida (left) and Chicago show different styles in art and type but similar approaches. Both services will supply news and weather, electronic shopping at local stores, video games for young and old, banking services that range from daily statements to paying bills, and televised greeting cards. The graphics distinguish these services, which use a new AT&T terminal, from services sent to ordinary computers, which can't reproduce pictures.*

The U.S. Federal Highways Administration (FHWA) and the State of Hawaii sponsored the initial studies[1] on the use of videotex for parataxi and ridesharing services within the City and County of Honolulu.

The U.S. Department of Energy and the State of Hawaii sponsored a conference[2] on "Videotex, Transportation and Energy Conservation" in January 1984. A team of international experts in transportation, personal computers and telecommunications critically reviewed the AUTO-RIDE parataxi concept.

The Urban Mass Transportation Administration (UMTA), the City of San Rafael (Marin County, California) and the San Francisco Foundation are sponsoring additional research on the use of community videotex-transportation information systems to organize transit, paratransit and ridesharing resources into an integrated public transportation system.

The State of Hawaii has asked the U.S. Department of Transportation for assistance in establishing a public-private partnership to develop and test a videotex-based parataxi system in a suburb of Honolulu.

STATEMENT OF THE PROBLEM

Dr. Gorman Gilbert and Robert Samuels[3] provided the following overview of public transportation in the United States:

"Public transportation at the urban level is not working very well. While the situation is much improved over that of a decade ago, mass transit systems still face massive and growing deficits. Services in suburban areas, cross-town services, and rural and small-city services are generally inadequate or nonexistant. Recent increases in ridership (in some cities) demonstrate the severely limited capacity of many systems to accommodate the shifts to transit that might be produced by an energy emergency. Nor is the taxi industry in a better position. Costs have escalated faster than revenues; diversification has been slow; and fleets are disappearing. In general, taxi firms remain outside of the local public transportation funding process. Despite more than a decade of committed federal transit funding, local public transportation still has many problems.

The situation contrasts with the vision of many transportation professionals of a future in which coordinated urban public transportation services reinforce -- and are reinforced by -- land-use policies. Many people, particularly transit users, have observed that downtown-focused, radial transit service no longer fits the travel patterns of persons in a sprawling urban region that contains many business, commercial, and cultural centers. There the need is for cross-town services, neighborhood services, and much interaction and coordination between these various services.

In the early 1970's transportation professionals began using the term paratransit in describing hopeful solutions to transit problems that required, not highly sophisticated new technology, but a commonsense utilization of existing, rather mundane, and normally overlooked services. The term paratransit soon included car pooling, van pooling, taxicabs, dial-a-bus, subscription bus, and even hitch-hiking. Paratransit became defined not by the vehicle used but by the type of service provided. Never again could urban transportation services be easily defined; instead terms such as "demand-responsive general service with no advance reservation" became common, and distinctions between terms such as "dial-a-bus" and "shared-ride taxi" became blurred.

At the heart of the enthusiasm for paratransit was the idea that paratransit services could be coordinated with each other and with

> largely existing services to provide effective service for everyone. This "Paratransit Dream" required no new (transportation) technology, only the solution of a few management and political problems. Conferences, reports, and books spread the paratransit message. Surely, its proponents felt, knowledge of paratransit would lead local decision makers to coordinate existing services and implement new ones. The dream would become reality.
>
> Yet despite this optimism it remains more vision than reality. . . . The widespread proliferation of diverse, flexible, imaginative coordinated paratransit services has not happened. Nonetheless, the dream remains a potent and attractive one. The vision of public and private providers operating in concert and using a variety of types of vehicles promises better and less costly service The financial problems facing both transit and taxi operators make coordinated paratransit systems doubly attractive."

Videotex offers a new tool for integrating transit, paratransit and ridesharing services.

GENERAL METHOD OF APPROACH

Dr. Melvin Webber made the following points in a speech[2] in Honolulu in January 1984 at the "Governor's Conference on Videotex, Transportation and Energy Conservation":

> "Our problem is not a shortage of transport capacity. We have more than enough front seats in our cars to carry everyone in the country at the same time, leaving all the back seats empty; and we have enough road space for all of them to drive at the same time. Our problem is that we don't use all that capacity very well. . . .
>
> The U.S. transportation problem must be redefined to call for the design of a successor to the currently dominant private automobile/public highway system. We need a transport system that

would permit virtually everyone to enjoy the equivalent of automobile mobility, although not exlusively with the present arrangement of privately owned cars each exclusively dedicated to carrying it owner in privacy.

The closest we've come so far (in developing the ideal transit system) is a shared taxi or jitney -- an automobile used in public-transit mode . . . adaptable to low-density, dispersed settlement patterns; capable of providing random access service -- from anywhere to anywhere; approximating door-to door, no-wait, no-transfer service; thus providing short trip time and lower dollar-costs than automobiles allow . . .

Prospects are promising for an urban transportation system that combines private use of private automobiles with public use of public automobiles and other share vehicles that use streets and freeways. Exclusive use of selected streets for carpools, express buses, and group taxis can greatly increase travel speeds, thus making these multiple-occupant vehicles the most-rapid components of urban transport systems.

Because overall door-to-door travel time is probably the most important factor affecting a commuter's choice of travel mode, there may be no more effective way of reducing congestion and increasing urban mobility than through preferential treatment for multiple-occupant vehicles."

C. Kenneth Orski, President of the Corporation for Urban Mobility, added[2] the following:

"Perhaps the most important change I sense (in the transportation industry) is a change in attitude: there is more willingness to challenge the conventional wisdom and a greater receptivity to consider innovative solutions. Increasing numbers of local officials are questioning the logic of traditional transportation arrangements and challenging traditional approaches to providing trasportation service. For an industry that has historically not been particularly innovative, that is good news indeed.

What has triggered this reappraisal are not just local fiscal stringencies and reduced federal dollars, but a growing sense that the market for coventional transit service is progressively diminishing. -- Only 6.4 percent of all workers rode public transit in 1980, down from 9 percent

> in 1970.-- Traditional transit systems worked well in the days when most homes and jobs were located in central cities, when a large proportion of the urban population lived within walking distance of bus routes, and when travel destinations were focused sharply on the downtown. Today, we are confronted with radically different circumstances.
>
> The urban transportation market is in the process of becoming a freer market, a market in which the public transportation agency is likely to lose its monopoly position and become something of a broker with a primary responsibility to identify the region's transportation needs and ensure that those needs are satisfied in the most cost-effective manner through private as well as public operators. But, as any free market exponent will tell you, for a free market to function effectively, the consumers must have the full access to information. Only then can they exercise their freedom of choice in a rational manner. This is where I believe Videotex, with its on-line, real-time interactive capability, can make a difference."

Kenneth Orski was formerly an Associate Adminstrator at UMTA.

THE AUTO-RIDE PARATAXI CONCEPT

AUTO-RIDE is an door-to-door transit system which primarily utilizes privately owned vehicles to provide high-volume, low-cost, energy-efficient transportation services for the public, including the aged and handicapped.

Gabriel Roth, Transportation Economist with the World Bank, described the operation of the AUTO-RIDE system[4] as follows:

> "Travelers wishing to participate in the parataxi system, either to offer rides or to receive them, would first have to be screened to

> ensure that they do not suffer from character or driving defects that would make them undesirable traveling companions. When accepted they would receive an AUTO-RIDE license, shaped like a plastic credit card but incorporating additional electronic security devices. An AUTO-RIDE user would have to insert the license into a slot in the videotex terminal, and enter a password. License and password would be checked by the central computer and, if found to be satisfactory, signal to the user to indicate on the terminal (usually with only or two keystrokes) the origin, destination and time of the proposed trip and the number of seats available or wanted. The central computer would then match prospective riders and inform them - and them only - of the pick-up and delivery arrangements. Fares, probably comparable to existing public transport fares, would be billed monthly, and AUTO-RIDE drivers would be reimbursed monthly. A proportion of the revenues would be used to meet the costs of the central computing system, the whole operation being designed to be self-financing.
>
> In addition to enabling private car owners to offer rides for money (the report suggested the word "parataxi" to describe this transport mode) the videotex terminals could also be used to provide information on bus and train schedules; on the availability of taxi, dial-a-ride or lift-van vehicles; on openings in carpools or vanpools; and to provide information about travel delays caused by weather or accidents. In this way videotex could serve as an Advanced Computerized Rider Information System (CRIS), providing travelers with timely and accurate information about the availability of all transit, paratransit, ride-sharing and paraprivate services available in their area."

Because of the volume and complexity of data required in a community AUTO-RIDE system, some type of computer or videotex terminals are required. Voice systems, which are currently used by radio-dispatched taxi and dial-a-ride services, are too slow and too labor-intensive to be used. Terminals will permit both drivers and riders to enter trip

information quickly and accurately and transmit this information to the central matching computers without the need for human intervention.

The terminals prepared for the AUTO-RIDE system can be used for a variety of other applications that will generate revenues which can reduce the net cost of transportation services. In fact, Booz-Allen and Hamilton estimate that advertisers will eventually pay from 80 to 100 percent of the cost of these videotex services, as they now do for newspapers, magazines, radio and broadcast TV.

In summary, AUTO-RIDE attempts to provide a transportation service that combines the convenience of a taxi with the economy and energy conservation benefits of a car pool. The AUTO-RIDE concept will become even more attractive in the future as the cost of public transportation continues to rise and as the cost of electronic equipment continues to decline.

CONCLUSIONS

A videotex-based parataxi system could provide U.S. cities and towns with a new mode of transportation that would increase the mobility of all citizens, particularly the elderly and handicapped. It could stimulate walking, biking and ridesharing among commuters by providing demand-responsive backup services in the event of a change in

either the weather or travel plans.

A community parataxi system could also help increase transit ridership by providing door-to-door feeder services for fixed-route bus, rail and ferry operations. It can increase the efficiency and effectiveness of paratransit services by reducing dead-heading and by providing a new source of funds for subsidizing these services. Part of the AUTO-RIDE fares could be applied to subsidize lift-vans and taxis and integrate their unique capabilities into each community's public transit system.

Community videotex systems could also help attract private investment to public transportation. Many corporations, both domestic and foreign, are interested in projects that would not only help them install a computer in almost every U.S. home, office and shop, but also help them to generate recurring monthly revenues for videotex services. Greater involvement by the private sector in public transportation has been a goal of the Reagan Administration.

Videotex would provide new employment opportunities to those who provide rides for their neighbors and co-workers while reducing traffic congestions, gasoline consumption, air pollution and parking problems. It would also provide the technology necessary for each community to do something about its own transportation problems. The primary responsibility for providing good transportation services would be

returned to the citizens and elcted officials of each city and town. This has also been a goal of the Reagan Administration.

Widespread use of videotex-transportation information systems could reduce our dependence on foreign oil and improve our balance of trade. It could also reduce transportation spending at all levels of government and provide a variety of new business, educational and employment opportunities.

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3. The Taxi, Samuels and Gilbert, University of North Carolina Press, 1980

4. Traffic Engineering and Control, April 1984, Article on the Hawaii Conference by Gabriel Roth

* Copies of these reports may be obtained from Aegis Transportation Information Systems, 1188 Bishop Street (Suite 806) Honolulu, Hawaii 96813. (808) 536-2341

CREATING A VOLUNTEER TRANSPORTATION PROGRAM IN NORTHERN ALABAMA

Submitted by:

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Creating a Volunteer Transportation Program in Northern Alabama

by IRA F. DOOM and CHARLOTTE S. GRINER

The City of Huntsville and Madison County, Alabama, have developed an innovative, cost effective public transportation alternative for low-income rural and urban citizens. The program blossomed from a simple phone call from G. W. Jones, who resided in Triana, Alabama, a small low-income community of 1,000 near Huntsville. His request—a van (just any old van in running condition) that could be used to provide medical and shopping trips for members of his community, which he had been providing himself. The residents of the community would provide the gas and drivers—if they just could find a van.

It was decided that if the citizens of Triana wanted to provide the funds for van operations, the project was certainly worth a try, so Ira Doom, Public Transportation Coordinator for the City of Huntsville, began looking for a vehicle. The Huntsville-Madison County Senior Center had one that it considered obsolete, and loaned it to Triana on an experimental basis.

Under Jones' leadership, the Triana program flourished. News spread—soon a neighboring community, Madison, requested a van to serve their own public transportation needs. Another "obsolete" van was secured and another public transportation service initiated.

At this point Doom and G. W. Jones, now employed by Huntsville as "Volunteer Transportation Coordinator," developed program principles and funding plans, and then set some goals. Their goals included making affordable, cost-effective public transportation available to groups willing to share in the responsibility for providing that transportation, promote cooperation and good will between the City of Huntsville, Madison County, and rural communities, and provide a beneficial approach to meeting public transportation needs that could be adopted in other areas of the state and nation.

A unique, self-help volunteer transportation program has evolved. Each group incorporates itself into a nonprofit community improvement association or similar organization complete with articles of incorporation, bylaws and a board of directors. Each community or neighborhood then furnishes drivers, gasoline, and elements of program management including a prescheduling of shopping, medical, educational and recreational trips.

To begin the program, the City of Huntsville contributed used and reconditioned vans and van maintenance and Madison County provided the insurance. Now the program has been cleared for receiving Federal Urban Mass Transportation capital funds allocated to urban areas.

The Huntsville Department of Transportation, Public Transportation Division, administers the system and is responsible for the program results. It seeks out potential community leaders who are responsible for the program in each neighborhood and small community. It also assists each group in fund-raising operations, reviews safety practices, provides programming and scheduling assistance when requested, and sees that all volunteer drivers receive defensive driving training.

The program has grown from its meager beginning to a system serving ten neighborhood/communities in Huntsville, five rural communities in north Alabama (here the vans are provided through Urban Mass Transportation Administration Demonstration Funds), and five other volunteer oriented groups in Huntsville. Five of the neighborhood/communities in Huntsville are low-income, minority housing projects where the median household income ranges from $2,000 to $6,000 per year, and where only 21 percent of the people own or have access to a car. The other communities consist of low-income neighborhoods with residents in substantially similar circumstances.

This type of program works not only in Huntsville, but also in rural areas in north Alabama; volunteer vans are located in Dekalb, Jackson, Limestone and Marshall Counties and serve to meet disparate needs of their local communities. One van is governed by a consortium of churches, another by nutrition site volunteers, one by a Ruritan Club and one by a small town government. Recently, a new, similar program has been started in

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Jackson in south Alabama.

The program has proven that it meets the needs of the people with the lowest income levels in the city as well as the least mobile members of the rural communities. It is serving those people who truly need transportation, providing flexibility and personal service to the bottom economic 10 percent. Most importantly, it is accomplished through their own efforts. These lower-income citizens are often taken care of by government; however, they have proven that, when given the opportunity, they can take care of their needs themselves and, at the same time, preserve their dignity.

Because of its volunteer nature, the Huntsville-Madison County program has no taxpayer financed costs for drivers or gasoline, but the program does require funds for maintenance, insurance and administration. The operating cost amounts to 20 cents per trip to Huntsville and 50 cents per trip to rural areas—figures estimated to be substantially lower than anywhere in the country for low-income urban and rural transportation.

Equally, if not more important, the communities served become satisfied with shared prescheduled rides rather than with individual demand response trips, because the community partially finances the trips and totally finances the decision-making costs. The taxpayer cost per community is probably less than 20 percent of the operating costs incurred by using conventional systems because the trips are not perceived as free services, thereby reducing unnecessary demand volume and taxi-type service.

Cost Data

A cost analysis of the volunteer transportation program is expressed in conventional cost-per-trip terms. There are no government costs incurred for gas or drivers since the neighborhood/communities furnish them. This feature is where the substantial dollar savings occur and where the citizen/government partnership begins.

Government costs per van, computed on an annual basis, are fairly straightforward and apply to almost any community. See Table 1.

The only other cost factor is staff support and the need for this varies depending upon the community served. Rural communities, because of mayors' offices or churches, need little or no support, whereas urban neighborhoods may require the creation of a volunteer van coordinator position at approximately $20,000 per year. In urban communities, a coordinator can take care of up to twenty neighborhoods. In rural communities, there is little need to add a coordinator unless a large number of communities are involved. If only three or four vans are placed in either urban or rural areas, that can usually be accomplished with existing staff.

The Huntsville-Madison County program is particularly effective because of the high volume of trips produced by the coordination of school trips with medical, recreational, shopping and other community trips. Table 2 shows the cost data for ten vans. These account for 200,000 trips annually.

TABLE 1

ANNUAL COSTS PER VAN

Expenses	Amount
Operating costs:	
Van insurance	$1,000
Van maintenance	1,000
Capital costs $12,000 used and reconditioned (4-year life) or $15,000 new (5-year life)	3,000
Total annual costs per volunteer van	$5,000

Rural costs are higher because of lower volumes and longer trips, but the program is still a bargain. Table 3 shows the cost data for the vans which account for the 20,000 trips per year in northern Alabama counties.

When determining costs per trip, most agencies include operating costs only, but it is believed that the cost should give as accurate a representation as possible. The operating or total costs per trip under the volunteer program in either urban or rural areas is substantially below normal governmental program outlays (probably a 75 percent savings in urban areas and a 50 percent savings in rural areas). It is noted that, on some occasions, maintenance and insurance are provided by local communities/neighborhoods but, in

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Left: The Huntsville, Alabama, volunteer van program provides school transportation for regional residents who otherwise could not afford to use public transport. Above: This volunteer van is operated by the Upper Sand Mountain Methodist Parish, a consortium of churches.

general, low-income people cannot or should not be expected to provide these contributions–after all, gas and drivers comprise a significant undertaking on their part.

If such a program were to be expanded to include higher-income communities, it is the opinion of the authors that the local citizens or groups should be expected to provide for maintenance and insurance, thereby maintaining the principle of no government operating assistance for public transportation except for the low-income groups who are willing to provide their share of expenses through drivers and gasoline. For example, in the case of the five other volunteer groups in higher-income areas in Huntsville, they all provide for insurance and some maintenance as well as the gas and drivers.

Advantages to Local Governments

This program is a proven technique to eliminate government operational subsidies for gasoline and drivers, and it provides dignity, participation, responsibility and a sense of ownership to the public transportation user and the community served. The partnership approach means that the volunteers *do control their program*, except for the assurance of safety.

TABLE 2

COST DATA FOR TEN VANS

Expenses	Amount	Cost per Trip
Operating costs:		
Insurance	$10,000	
Maintenance	10,000	
Van coordinator	20,000	
Total operating costs	40,000	
Operating costs per trip		$.20
Capital costs - $120,000/4 years	30,000	
Capital costs per trip - $30,000/200,000 trips		.15
Total government costs per trip		.35

TABLE 3

RURAL TRANSPORTATION COSTS

Expenses	Amount	Cost per Trip
Operating costs:		
Insurance	$5,000	
Maintenance	5,000	
Total operating costs	10,000	
Operating costs per trip		$.50
Capital costs	15,000	
Capital costs per trip		.75
Total government costs per trip		1.25

The people who comprise the bottom economic 10 percent can take care of themselves . . . but, it requires a general respect and trust based on the true principle of a handshake. Governments, local, state and federal must trust people to help themselves. If they rob them of the opportunity to help themselves, they only create more wards of government and place further burdens on the already overloaded taxpayer.

This concept in rural public transportation may be contrary to some state regulations (but it is consistent with federal policies and federal regulations) and, therefore, may require a reorientation of conventional planner thinking at state and local levels.

If this reorientation is not accomplished, rural areas will suffer the most since the transportation needs of those most isolated can not be met with paid drivers and fixed routes unless taxpayers are asked to triple or quadruple their already significant contributions. In short, to those of you responsible for transportation in rural areas, we believe this volunteer approach has special significance.

Every planner, town official, and local citizen involved in transportation should get to know local low-income rural and urban neighborhoods, seek out the leaders (they're there–waiting in the wings to be asked to do something for their neighbors), trust and respect them, and see what happens.

If transportation planners adopt the concept that people can help themselves, they will find that more results can be achieved for less dollars. In addition, and more important, will be the generation of dignity, pride and self-worth. Citizens can achieve an increased awareness of community responsibility for the quality of life for children, the disadvantaged and for senior citizens. These results have long lasting repercussions that cannot be measured in dollars and cents.

MILWAUKEE COUNTY USER SIDE SUBSIDY PROGRAM: AN OVERVIEW

Submitted by:

Thomas M. Knight, Milwaukee County Department of Public Works, Milwaukee, Wisconsin

MILWAUKEE COUNTY USER SIDE SUBSIDY PROGRAM: AN OVERVIEW

Target Market: Milwaukee County residents who are either confined to a wheelchair, require the use of a walker or crutches or are legally blind.

Service Area Size: 242 square miles.

Title: Milwaukee County User Side Subsidy Program Serving Handicapped Persons

Service Area Population: 964,988 (1980 Census)

Costs and Sources of Funding:

Revenue	1978	1979	1980	1981	1982
State of WI	$102,684.70	$166,599.00	$ 381,538.75	$ 415,901.00	$ 477,622.00
CDBG*					282,500.00
Milw. Co.	10,268.52	294,468.99	611,808.95	752,543.76	898,625.16
User Payments	11,163.00	89,419.55	178,412.00	355,824.23	387,533.55
Total	$124,116.22	$550,487.54	$1,171,759.70	$1,524,268.99	$2,046,280.71

*Community Development Block Grant

Expenditures					
Subsidies	$ 92,322.77	$499,128.05	$ 936,184.69	$1,381,556.09	$1,833,130.42
Admin	18,870.10	41,836.98	50,749.26	128,415.09	182,736.66
Other+	12,923.35#	9,522.51	6,413.75	14,297.81	30,413.63

#Includes $10,370.95 advertising initial program.

+Includes material and supplies, printing, and data processing.

The revenue and expenditure figures listed above are actual and so, not adjusted for inflation.

Start-up costs for the Milwaukee County User Side Subsidy program were not specifically identified as such but rather absorbed by the Transit System and Department of Public Works staffs. A reasonable estimate of costs presuming that no groundwork has been done would be approximately $40,000. Included in this cost estimate is staff time and the necessary ancillary services to develop the program after the type of program has been defined. It should be noted that the USS program was financed entirely without federal funds until 1982.

Development

The USS program was developed and implemented in approximately ten months. This occurred after funds became available from the State of Wisconsin Department of Transportation to improve transportation for the elderly and handicapped. The type of program including the eligibility criteria, the fare structure, and other program aspects were generally defined, a grant application was prepared and submitted in the first 7 1/2 months of the

development. At this point the Special Services Coordinator was employed by MTS (the transit system operator) to implement the program as designed. The program began operation on January 5, 1978, 2 1/2 months later. Attachment A is a brief history of the development of the USS program.

In light of the Milwaukee experience, it would appear that a similar program could be developed and implemented in four to eight months.

Before Conditions

Using data gathered in the National Health survey of 1972, the Southeast Wisconsin Regional Planning Commission (SEWRPC) estimated in 1978 that of the 46,147 transportation-handicapped individuals in Milwaukee County, only 51 percent were able to use fixed-route transit, and then only with difficulty. Thus, an estimated 22,612 persons in the county at that time had no public transportation services available to them, despite the fare and equipment modifications.

It was recommended in the SEWRPC report that Milwaukee County implement both an accessible fixed-route service and a user side subsidy program.

Milwaukee County determined that a demonstration program should be developed for those persons who were confined to wheelchairs, the same group that would be served by lift-equipped transit vehicles.

Prior to the USS program, various human service agencies provided transportation to their programs only for their clientele, but no general purpose transportation was offered. It is important to note that there were lift-equipped van companies as well as taxicab companies already in existence so a user side subsidy program could be implemented with carriers capable of providing service to persons who use electric wheelchairs.

Description of the USS Program

A user side subsidy program was chosen over a provider side subsidy primarily because the county determined that the major problem facing disabled persons who could not use traditional transit was the cost. There were transportation companies already in business capable of providing service to disabled persons, but the cost was too high for these persons to use these services frequently. In addition by implementing a user side subsidy, the county was not faced with determining what vehicle fleet would be necessary to provide service to the eligible population. The Common Council of the City of Milwaukee already regulated the taxicab and lift-equipped van services, establishing vehicle, insurance, and operator requirements and established rates so there was no need for Milwaukee County to establish duplicative requirements. If demand increased in excess of the available supply, the existing companies would adjust their fleet size to satisfy the demand.

The USS program is designed to approximate mass transit for handicapped individuals who are physically unable to utilize the Milwaukee County Transit System. Hence there are no restrictions on trip purpose or frequency of trip. The service is available from 7 a.m. to midnight, seven days a week.

Persons eligible for this program, as certified by a physician or health professional, must be either confined to a wheelchair, require the use of a walker or crutches, or be legally blind. For each one-way trip, the user pays the first $1.50, with the program subsidizing the remainder of trip charges up to a maximum of $9.50 for wheelchair users or $6.50 for other users, any additional trip charges in excess of the maximum subsidy are the responsibility of the user. During 1983, the USS program will subsidize an estimated 240,000 trips at a cost of approximately $1.9 million. Enrollment is anticipated to be approximately 5,500 persons.

The USS program contracts with private taxicab and accessible van companies to provide the service. Presently there are six taxicab and six accessible van companies under contract. The program requires that these companies be licensed by the City of Milwaukee Common Council to provide either taxicab or handicapped livery services. No additional service, beyond what is required by the City ordinances, is required by the USS program. For example, taxicabs provide curb-to-curb service and the USS program contracts with taxicab companies for that same service. However, the largest taxicab company requires their drivers to provide-door-to-door service for program participants in the attempt to attract customers. The competition between providers, in this case, has improved the service quality at no additional cost to the program.

Vouchers are provided to the carriers by the USS program and each driver maintains a supply in the vehicle. The driver completes the voucher at the time of the trip, has the user sign the voucher, and collects the user fare. The company prepares an invoice of the completed vouchers for a given period, usually two weeks, and submits the invoice to the Department of Public Works. The USS program pays 90 percent of the invoice within ten business days and the balance is paid after the vouchers are audited.

The information on the voucher consists of: user's name, home address, and USS identification card number, the trip origin, destination, purpose, times, date, total cost, user cost, and subsidy amount expected to be reimbursed to the vendor. The user and the driver sign each voucher.

In 1979, when maximum subsidy limits were placed on each one-way trip, there was a concern that some users would experience a financial hardship taking "necessary" trips. To eliminate this problem, the hardship classification was established whereby the USS program will reimburse a user for additional costs in excess of the maximum limits for medical, employment or educational trips when that additional cost exceeds $10.00 in a two-week period. The major concern at the time was for those persons using van companies. However, due to the competition between van companies, these companies did not charge additional amounts in excess of the subsidy limits and the problem did not materialize. Hardship reimbursements have averaged less than $10,000/year.

In 1983 agreements were worked out with the Wisconsin Division of Vocational Rehabilitation (DVR) and the Milwaukee County Department of Social Services (Medicaid--Title 19) to reimburse the USS program for appropriate trips by USS participants. For DVR the trips must be approved in the DVR client's rehabilitation plan and for Medicaid, the trips must be for a medical purpose by an eligible client.

Evidence of Effectiveness

The USS program provides 20,000 trips each month to eligible users. The program allows handicapped persons to travel independently and encourages them to participate more fully in society. Historically, handicapped individuals who were unable to drive a car or use mass transit have had to rely on family or friends to meet their travel needs. The USS program provides these persons with the opportunity to determine their own travel needs and eliminates the need to rely on others for transportation.

The mobility benefits from an assistance program can be measured in two ways. First, the program can lower the cost of travel by a handicapped person in terms of money, time, and/or effort. Second, it can increase the number of trips taken by a handicapped person. Milwaukee County's User Side Subsidy program has, at a minimum, certainly lowered the cost of travel to users. Service quality has improved and the monetary cost of using special transportation services has decreased dramatically for users. It is not known if program registrants have increased the number of trips they make because of the subsidy program. Information on the trip purposes of subsidized trips indicates that much of the travel sponsored by the program is of a discretionary nature, such as recreation trips. Because these trips are usually not eligible for funding under other assistance programs and because unsubsidized special services are expensive, the presence of this type of trip among program-sponsored trips may indicate that some new trips are being made by program participants. The extent to which new tripmaking is occurring cannot be determined, however. The program has also had success in meeting its second goal--holding administrative complexity and cost to a minimum. Eligibility testing, the enrollment process, and provider contracts are administratively simple. Consequently, the program spends only about 12 percent of its budget for administrative activity.

Listed below are enrollment and ridership statistics for 1982:

USER SIDE SUBSIDY ENROLLMENT (1982)

Wheelchair	3,947
Walker	697
Crutches and/or Long Leg Braces	213
Blind	619
Total	5,476

USER SIDE SUBSIDY PROGRAM TRIPS BY PURPOSE (1982)

Purpose	Percentage
Medical	17.8
Employment	15.3
Nutrition	9.5
Education/Training	6.7
Social/Recreation	18.7
Shopping/Personal Business	17.3
Other	14.7

As noted in Attachment A, Milwaukee County worked out an agreement with the plaintiffs in the Barthels vs Biernat lawsuit which allowed Milwaukee County to discontinue the use of the wheelchair lifts on the fixed route system. The county agreed to provide funding for the USS program at least equal to 2.2 percent of the operating budget of the Milwaukee County Transit System. At least for the plaintiffs in this lawsuit, the USS program was determined to be a more effective transportation system than wheelchair lifts on the fixed route system. Listed below is a comparison of the ridership on lift-equipped buses and the USS program.

Year	Lift-Equipped Buses	USS Wheelchair	USS Total
1979	269[1]	32,449	55,588
1980	389[2]	71,201	139,970
1981	832	98,791	176,175

1 Lift-equipped service began in April, 1979 on six routes.
2 Lift-equipped service was expanded to 13 routes in July and 17 routes in August, 1980.

After the consent agreement was approved by the Federal Court, Milwaukee County discontinued use of the wheelchair lifts.

The Milwaukee County USS program has been independently evaluated by the Urban Institute, Charles Rivers Associates and by the National Institute for Advanced Studies and found to be an effective and efficient means of providing transportation to the handicapped. In addition, the Milwaukee USS program was cited as an example of a paratransit program to comply with Section 504 of the Rehabilitation Act of 1973 in the September 8, 1983 proposed USDOT regulations implementing Section 504.

The transferability of this program to other areas has been documented in the Charles Rivers report. In addition, the program development and implementation experience in Milwaukee was used extensively in the development of a planning handbook for user side subsidies prepared by Cambridge Systematics for UMTA (User-Side Subsidy Programs for Special Needs Transportation).

Summary

The Milwaukee County User Side Subsidy program offers to eligible handicapped residents a transportation service that is a reasonable approximation of the service provided by the Milwaukee County Transit System to the general public. Like the transit system, there are no restrictions on frequency of use or trip purpose. By utilizing the private sector to deliver the service, the USS program has stimulated competition which has improved service quality (taxicabs offering door-to-door service) and reduced the cost to the user (van companies charge less than their established rates). The USS program has allowed the private sector to respond to the demand created when the program was instituted and as such, the service availability (evening and weekend van service) has been expanded at no additional cost to either the user or the program. Milwaukee County has demonstrated, using state and local funds,

an effective mechanism to provide transportation to the handicapped. During the program history, the cost of the program has periodically exceeded the program's budget, but in each case Milwaukee County has appropriated additional funds to continue the program recognizing that this program is a vital component in the independence of handicapped Milwaukeeans.

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ATTACHMENT A

USS Development History

In 1975, Milwaukee County acquired the Milwaukee and Suburban Transport Company, a privately-owned bus company.

On December 2, 1975, three handicapped individuals brought a lawsuit against the County Transit Board, the Urban Mass Transportation Administration (UMTA) Administrator, and the U.S. Department of Transportation Secretary in connection with Milwaukee County's first solicitation of bids for new buses. The suit alleged that the defendants had violated Section 16(a) of the Urban Mass Transportation Act, Section 504 of the Rehabilitation Act of 1973, and Section 315 of the DOT Appropriations Act of 1975, as well as the due process and equal protection clauses of the U.S. Constitution.* The alleged violations centered on procuring and operating transit buses not accessible to persons who require a wheelchair for mobility. The plaintiffs sought preliminary and permanent injunctions restraining MCTB from accepting bids on, and UMTA from funding, the purchase of 100 new buses unless they were proven accessible. On December 24, 1975, the court entered a preliminary injunction restraining the MCTB from taking any bids for the buses. After further negotiations by the parties involved, MCTB agreed to solicit bids for accessible buses, 100 of which the county received in August, 1979. The injunction did not prevent the county from designing alternative services for the handicapped.

*(Barthels vs Biernat et al)

October, 1977	The Milwaukee County Executive recommended that the Milwaukee County Transit Board seek funds under Wis. Stat. Sec. 85.08(5) to improve transportation for the elderly and handicapped.
November, 1977	An ad hoc committee was formed to develop alternatives and recommended expanding the transportation service for the elderly provided through Elder Care and to develop a user side subsidy for persons confined to wheelchairs using private for-profit carriers already in business.
December, 1977	The Milwaukee County Transit Board recommended applying for the funds.
January, 1978	A public hearing was held and the proposed program was overwhelmingly supported. The grant application was submitted.
April, 1978	The grant was approved and a contract was signed between Milwaukee County and the State of Wisconsin.
	Milwaukee Transport Services, Inc. (the transit operator) hired the Special Services Coordinator to implement the program.

June, 1978 — Milwaukee County began the User Side Subsidy Program.

1. Registration Limits - Wheelchair Persons Only
2. Trip Subsidy Limits - None
3. User Fare - $1.00

November, 1978 — Eligibility is extended to include persons using walkers, crutches and the legally blind.

June, 1979 — Maximum subsidy limits established.

1. Wheelchair trips - $10.00
2. All other trips - 7.00
3. User fare remains - 1.00
4. Hardship Classification established

February, 1981 — Maximum subsidy limits reduced and user fares increased.

1. Wheelchair trips - $9.50
2. All other trips - 6.50

User fare increased from $1.00 to $1.50
Annual registration fee - $5.00

January, 1982 — Milwaukee County is a party to the consent order in the bus lift case. The consent order establishes a minimum yearly funding level for the User Side Subsidy Program. This funding level is a minimum 2.2 percent of the operating budget of Milwaukee Transport Services. A portion of this amount can be spent for program administration costs. This consent order allowed Milwaukee County to discontinue using the wheelchair lifts in fixed-route service.

January, 1983 — 1. Annual registration fees are increased from $5 to $7.

CONTRACTING WITH FOR-PROFIT PROVIDERS

Submitted by:

Bernice Jay, Checker-Yellow Cab, Green Bay, Wisconsin

CONTRACTING WITH FOR-PROFIT PROVIDERS

I want to thank you for the opportunity to participate in the conference.

A little boy rang the doorbell at home and when the man answered, the little boy said, "Do you have some puppies for sale?" The man said, "Yes." The little boy said, "I have some money, how much?" The man said, "$10.00." "Gee, Mister, I only have $1.83, could I pay a little at a time?" "I'm sorry, the price is $10.00," the man said. Just then the mother dog and her five puppies came to the door. "Boy, I sure would like that puppy," said the boy. "Oh, you don't want that one, it has a bad leg and will never walk right the rest of its life," said the man. "How much for that one, Mister?" as the little boy pulled up his pants leg and revealed a steel brace on his leg. "You see, I don't walk so good either, and that puppy is going to need a lot of understanding."

Back in the early 70's when the government decided to fund transportation for the elderly and handicapped, was when I first met Mr. Frank Potts, in meeting with the Wisconsin Taxicab Association. Believe me, our relationship was not very friendly, as we knew the government was taking our customers away, and giving them free rides with the Red Cross Agency, furnishing them with vehicles and our tax money to be our competitors. To add insult to injury, after getting their vehicles, radios, money, etc., the Red Cross then came to my office and wanted me to teach them how to dispatch and operate their transportation. I quickly showed them the door.

But, as time went on, a few years later I was put on the Mass Transit Study Committee for our county, and gained a contract for User-Side subsidy discounts for transporting E&H passengers. Also, I learned a lot about UMTA through the ITA and continuous Wisiconsin Taxicab Association meetings with John Hartz and Frank Potts of the State DOT and I think they learned a lot about us. I learned that Mr. Potts wasn't such a bad guy after all, and he was just doing his job and I think he found out we were not the horrible monsters out to get him, but just fighting for survival. Now, Frank comes to all our meetings of the Wisconsin Taxicab Association, to keep us informed of new regulations and to get an

input from the taxicab owners to help him carry out his programs. He has demonstrated a sincere and fair consideration for the private for-profit operator. I know that if every state had a Frank Potts on their staff, this room would be filled with private for-profit operators as well as public agencies applauding his guidance and knowledge. So you see, just like that little puppy and little boy, we had a mutual understanding relationship.

An applicant for 16(B)2 funds is required by the DOT to solicit proposals from other transportation providers, both for-profit and non-profit in their area. For-profit providers are invited to submit proposals for transportation services utilizing their own vehicles or utilizing a grant vehicle through a lease with the agency. In submitting these proposals, the provider need only to use a bottom line price. This factor was one of the most significant procedures in submitting an offer. The agency was very upset about not having a detailed financial report with the offer.

I submitted two offers for services, one for providing the service required by using our own vehicles, and one for leasing their vehicle. I believe the proposal had to be received in 30 days. Also, the DOT had to be informed of any and all proposals submitted. I also informed the Agency that the company was very much interested in providing all the transportation needed.

Then the battle started as the Red Cross Agency did not want an outsider interferring with their in-house operation. They agreed to draw up a lease agreement utilizing their vehicle.

The first big discussion was that they wanted a financial report of each detailed expense I would have. I finally won that argument after a two-hour discussion. The other big argument was that the Agency wanted to deduct $100.00 per month for referral calls made to us each day, I absolutely refused to accept that. That argument took several meetings and was finally resolved with Mr. Potts as a referee. This negotiation of the lease took from October 25, 1983 to May 8, 1984 to reach a final agreement.

APPENDIX 2

LEASE OPTIONS

1. Minimum lease period is one year. In accordance with state and federal regulations, the grant recipient must have effective and continuing control over project vehicles and equipment. If directed by state or federal order, leased vehicles or equipment must be returned within 5 days of such notice to the grant recipient and at such time all lease provisions are terminated.

2. Unless agreed to otherwise by the grant recipient, all vehicle and equipment maintenance and repairs shall be the responsibility of the lessee. Manufacturer's recommended maintenance programs must be adhered to with written notice of such compliance to the grant recipient on a quarterly basis.

3. Monthly depreciation payments shall be paid to the grant recipient at the rate of 11¢ per mile of use for services operated for the benefit of the lessee. No depreciation charges shall be made for service provided to the grant recipient. A record of daily "Client E/H" and "Other" miles shall be provided to the grant recipient with each monthly depreciation payment.

4. No permanent interior or exterior identification may be applied to the leased vehicles or equipment. Temporary identification of the magnetic-sign type may be used in services operated for the benefit of the lessee.

5. Sub-leasing or renting of 16(b)(2) vehicles or equipment is prohibited, unless authorized by the Department.

6. The lessee may not make any vehicle or equipment modifications without the written consent of the grant recipient. Equipment that does not directly benefit elderly and/or handicapped passengers cannot be permanently attached. This includes taxi lights, meters, etc.

7. Other than depreciation, all financial arrangements concerning payments to either party shall be mutually agreeable to both parties. This shall include, but not be limited to: lease payments, hourly/mileage charges, etc.

8. All lease agreements must be submitted to the Department for review and written approval prior to execution by the grant recipient and the lessee.

9. Insurance levels, categories and responsibility for premium payments shall be as agreed upon between the grant recipient and the lessee and must include such coverage as required by the contract between the grant recipient and the Wisconsin Department of Transportation, as well as meeting the requirements of applicable local, state and federal laws. Grant recipient must be named as the loss payee for all payments relating to vehicle damage or loss.

10. The lessee shall be responsible for maintaining the equipment in a clean condition, both inside and out, and shall insure that vehicles are in a safe operating condition at all times. All reasonable efforts shall be taken by the lessee to insure against theft and vandalism. Lessee agrees to return all leased equipment in the condition in which it was received except for reasonable wear and tear.

11. Purchase of service agreements by the lessee and other parties are allowable only with the written consent of the grant recipient. All purchased service must be provided by the lessee.

12. The lessee must agree to offer service to elderly and handicapped persons of the general public to at least the same extent that service is offered to the able-bodied general public. This includes service to wheelchair-bound people if lifts are included with leased vehicles.

RALEIGH TRANSPORTATION SERVICE

Submitted by:

William R. Williams, Raleigh Transportation Services, Raleigh, North Carolina

Raleigh Transportation Service
PO BOX 2394
723 West Hargett Street
Raleigh, North Carolina 27602

Raleigh Transportation Service is a privately owned company engaged in different forms of transportation. Our company began operations in November 1971 with the purchase of Yellow Cab Company of Raleigh, Inc. At that time Yellow Cab had 13 taxis operating in Raleigh, North Carolina. Over the past 13 years we have developed into a diversified transportation provider. Our fleet now consists of 30 taxis, 49 vans, 2 over the road charter coaches, and 9 45-passenger city transit buses. We provide regular taxi service, shared ride taxi service for the elderly and handicapped, VIP Limousine service, airport limousine service, school transportation for exceptional children, fixed route bus service under contract to government institutions and private companies, van rental services to high school athletic teams, package delivery and messenger service for over 300 business accounts, and we operate 14 vans for the Wake County Coordinated Transportation System.

Understanding that this session of the conference is focusing on contracting with private providers, I will direct my comments to the most important segments of our company's business that pertains to the transportation of elderly citizens.

First, I will explain our shared-ride taxi services. Shared ride service was developed in 1974 during the fuel shortages. We were looking for ways to provide service to more people with the limited supply of fuel allocated to us. We felt if we could substantially reduce the cost per passenger for a taxi we could entice people to share the cab with others. It worked fairly well

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during the energy crisis, approximately 150 passengers per day took advantage of the shared ride experiment. However, soon after the crunch began diminishing, the ridership also dwindled to about 50 passengers per day. We found that 90% of these riders were elderly and the remaining were young working people who were using our shared ride service for trips of long distance and other taxi companys for regular taxi service. These long trips were effecting the efficiency of shared ride. We asked our city council to restrict shared ride taxi service to that segment of the ridership that would benefit most, (elderly and handicapped) and cut our losses for this service. This occurred in August 1978. Since that time only elderly and handicapped citizens of Raleigh can use shared ride taxi service. They can travel anywhere in the city for $1.00, $1.50, or a maximum of $2.00. This is determined by a zone system which divides the city into 3 overlapping zones. We are still operating under this same fare structure and the ridership has remained constant around 45 to 50 passengers per day.

Let me caution you however, as this is not a profitable venture for a private operation. The reason our company continues this program is two-fold. Contrary to some beliefs, the taxi is not used only by visitors and businessmen. The elderly passenger is a very large part of our regular taxi business. Second, all businesses need a sense of civic responsibility. This is our way of contributing.

The Wake County Coordinated Transportation System was developed because of a conference just like this.

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In 1976, the North Carolina Department of Public Transportation, UMTA, The University of North Carolina, and the North Carolina Taxicab Association sponsored a conference titled Integrating Taxis Into the Public Transportation system. From this conference came some very good things. Our Governor appointed a committee of citizens and professionals to examine the plight of Rural Public Transportation. A result of this was an executive order by Governor Hunt that mandated the coordination of human service agencies across the state. It also contained a provision to give private operators the opportunity to participate in the planning and operation of these systems wherever practical and cost effective.

Armed with this mandate, the Wake County Transportation Advisory Board was formed, and encouraged all human service agencies in Wake County to look seriously at a coordinated system.

The development and implementation of the coordinated systems in Wake County was a very difficult and time consuming process. Trying to bring together twenty human service agencies under one system was a tremendous undertaking. Many questions had to be answered and many problems overcome. Questions were raised, like, "vehicles could be used only for clients belonging to that agency", every agency felt that they needed complete control over drivers and vehicles," "mixing clients of one agency with another." Worst of all if they used a private operator, they felt the private operator's drivers were not capable of understanding and caring for their clients. Also the private operators had in their vocabulary the bad word (PROFIT). I can assure you that after 3 years our

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drivers have proven to all the agencies how good caring and understanding they really are. Several of the tasks performed by them has gone beyond our expectations. Even though our company makes a profit at operating the coordinated system, the agencies realize that profit included, their cost is substantially reduced. It took several years and many meetings to overcome these obstacles. Finally in 1981 the plan was put into effect. The Wake County Coordinated Transportation Service System began in February with four agencies participating on a trial basis. The system was designed to transport human service agency clients to such activities as employment, social, recreational, medical, shopping, and daycare facilities.

One of the most difficult problems faced by the advisory committee was in developing a fare structure equitable to all. The methodology used in establishing a fare structure was crucial even though there does not appear to be any completely fair system for establishing fares, each participating agency had to understand and accept the system devised for assessing costs. Flat rates per passenger sometimes have the short distance rider subsidizing the long distance rider. Cost per mile per passenger is a bookkeeping nightmare. Hourly rates do not by themselves inspire productivity.

Our company played a very important role in developing the fare structure and billing system. Because paying for what you use is the most equitable system, the advisory board decided on a charge per vehicle mile, for each mile while engaged in providing service. All mileage is charged from the time a

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vehicle leaves its operational base until it returns. Using a manifest developed to track both client and agency participation, each agency is billed only for the percentage of its clients attributed to that trip.

EXAMPLE:

Length of Trip - 10 Miles

Total Cost of Trip 10 Miles *.70 = $7.00

10 Human Service Clients Participate from 3 Agencys

5 from Agency #1

3 from Agency #2

2 from Agency #3

Agency #1 pays 50% of trip cost	$3.50
Agency #2 pays 30% of trip cost	$2.10
Agency #2 pays 20% of trip cost	$1.40

The billing process and its accuracy is just as important as establishing a rate structure. Many agencies were concerned that combining different clients from different agencies on a trip would be confusing and cause inequities in the billing process. We assured them that our computer could provide sufficient data to provide them with enough information for excellent tracking.

To begin a client file was developed that identified each client name, address, telephone number, sponsoring agency, any special information needed

in dealing with this client such as wheelchairbound, walker, hearing impaired etc., and a daily record of their individual cost per trip. This file is the basis from which all information is developed by our computer. A trip file was developed that numbers each trip according to the date and sequence in the computer. This file contains the origin of the trip, the final destination, vehicle number, driver, beginning mileage figures, ending mileage figures, and the agency number for each client.

The procedure for developing the data for the drivers manifest and trip begins on the previous day of the actual trip. When the dispatchers take requests from agencies and clients for service, a drivers skeleton manifest is developed and waiting for them when they arrive for work. As the passengers board the vehicle the driver requests their name or if they recognize the client they enter them onto their manifest. Each trip the driver handles that day has its own manifest. Any additions or deletions to their manifest are transmitted to the driver by radio.

The followng morning after checking continuity of mileage figures for each succeeding trip, the computer operator enters into the trip file all information pertaining to that trip. After all trips have been entered a complete report is then generated listing all pertinent information. The computer determines the cost to each agency. In the next step entirely computer generated each agency account is updated, history files are updated, and client files including

their share of the cost. This information on client daily cost is very important, as agencys are able to identify expensive client transportation cost and make proper decisions.

At the end of each month we provide each agency with a copy of every trip charged to them and an individual client history for that month.

All of the human service agencies in the coordinated system rely on monies from local, state, and federal funding sources for part or all of their funds to pay for transportation of their clients. Each agency in varying degrees require ridership data and client information for reporting purposes in order to receive financial support. Not only is this information invaluable in reporting to government funding sources, it also allows the agency to make well informed decisions pertaining to budget development and management. The information and data that can be generated and produced by the computer, in a timely fashion, has brought several additional agencies ipto the coordinated system.

When we were studying the feasibility of this system, the inventory of vehicles operated by the human service agencies in our system showed they were using 28 vehicles to transport 256 passengers per day. With 14 system owned, vehicles and the use of varying numbers of our company owned vehicles, we presently transport an average of 940 passengers per day. The vehicles in the system fleet are made up of vehicles owned by individual agencies and several purchased through the 16-B2 program. Our company insures, and

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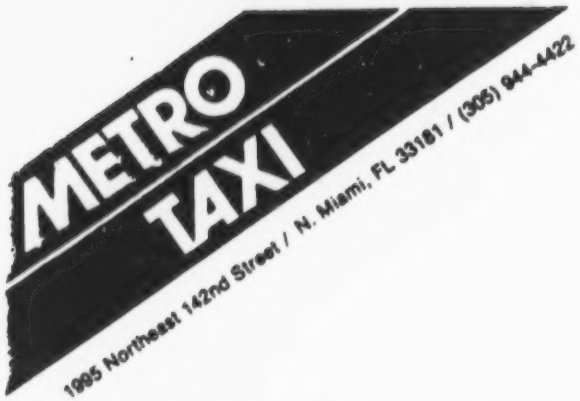
completely maintains all system vehicles on a regular preventive maintenance schedule. Agencies used to request new vehicles at 100,000 miles. We are able to lengthen the useful life of the vehicles to 175,000 miles.

The most important aspect of our system and others is cost. Anyone can develop and operate a human service system if the amount of funding is adequate. The trick is to provide efficient cost effective service at restricted budget levels. Since 1981 our system has provided 1,116 days of service, transported 357,348 passengers over 1,008,805 miles at an average cost per passenger trip of $1.88. Our present rate for service is .69¢ per mile. This is a reduction from last years contract of .01¢ due to the reduction of fuel costs and the arrival of 3 new vehicles. We expect a further reduction this year due to the arrival of 5 new vehicles which will lower maintenance costs by about .02¢ per mile.

DADE COUNTY'S SPECIAL TRANSPORTATION SERVICE

Submitted by:

Sigmund Zilber, Metro Taxi, North Miami, Florida



DADE COUNTY'S SPECIAL TRANSPORTATION SERVICE

BACKGROUND:

The Special Transportation Service (STS) project began operating in 1976 as a six month demonstation project. It was designed to provide curb-to-curb transportation for persons who, because of permanent physical handicaps, are unable to use regular public transportation. Because the STS demonstation project was well received by the community and special transportation for the handicapped was mandated by the federal government, the Metro-Dade Board of County Commissioners have continued to fund STS.

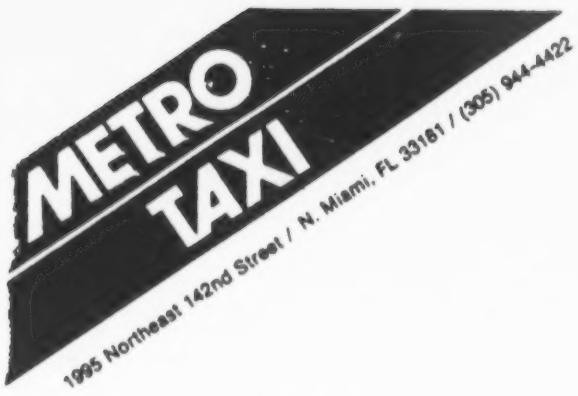
Over the course of the project, the demand for the project was increased, causing an increase in the daily demand for trips from approximately 300 one-way trips in Fiscal Year 1980 to more than 600 trips in fiscal year 1984. It is important to note that the level of complaints according to government documented figures is less than one half of one percent. Despite the accountability of the program and the success achieved, during fiscal year 1981-1982 the Board of County Commissioners reduced the amount of funds allocated to this program by approximately one million dollars to a level of approximately 1.5 million dollars. To stay within the allocated budget, cost saving measures were instituted in October and November of 1981 which included the following:

A. Imposition of 500 hundred one way trip ceiling, with a priority given to work, school and medical subscription trips;

B. Elimination of weekend service.

C. Negotiation of contract amendments resulting in a lower price per trip by the County.

Also, the Board of County Commissioners authorized a user fare increase as follows:



Mileage	One-Way Fare
1-10 miles	$2.00
11-20 miles	$3.00
21-30 miles	$4.00

These budgets reductions for the STS program occurred at a time when deficits for the buses (M.T.A.) were increased by millions of dollars each year. While more than fifty percent of the buses were transporting individuals with a fare box ratio of 30% or less, massive bus over-runs were transpiring and STS was caused to be reduced. From the private sector perspective certain givens became apparent:

1. The more efficient the program became the more money the program should be reduced;
2. Being accountable to a user population was not of of paramount importance-the budget was;
3. Reduction of weekend service, which differed from normal bus service was generally accepted as long no critical complaints were lodged;
4. Pricing criteria was more important than total program criteria. The "human" element did not count as much as the "cost" element. This fact became quite evident when RFQ`S were put out for bid rather than RFP'S.

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TYPES OF SERVICE

Subscription Service was used for essential, recurring, regularly scheduled trips to and from the same origin and destination. Essential trips generally inclueded work, school and medical trips. Once arrangements for subscription service were made, the patron did not need to call again unless a change or cancellation was required.

Reservation Service was used by patrons making nonrecurring trips and there was no restriction on trip purpose. Persons wishing to arrange travel called the routing and scheduling office one day in advance.

FINANCING

Prior to the present contract, payment by Dade County to private contractors was based on the mileage traveled per vehicle trip plus a surcharge for users transported by wheelchair lift-equipped vehicles. The contractors were encouraged to multiload passengers to reduce costs paid by the County, and patrons were encouraged to limit the length of trips for the same reason.

Because of long trip lengths and a multi-load factor of approximately 1.35 the County went to a flat rate system for each trip. This enabled the County to:

A. Not be concerned with the load factor;
B. Not be concerned with trip length;
C. Reduced a four person staff to verify trip length and cost to one person.

Load factors used soley as a criteria for success are improper and inhuman. Unless the is a "many to one" or "one to many" situation it is our strong believe that people should not have to travel over one hour to reach a destination that they normally could be at in fifteen or twenty minutes.

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ROUTING AND SCHEDULING

In 1980 Dade County after having applied for a Section 6 UMTA grant for the purpose developing a Computer Assisted Routing and Scheduling Management Information System. It was to be used to integrate conventional bus and paratransit services and to coordinate social service agencies. In September of 1984, County government after spending more than one million dollars on the Computer Assisted Routing and Scheduling Management Information System decided to undertake Routing and Scheduling from Metro Taxi. This involved more than six hundred user trips daily. County staff had more than a year to prepare. The results proved to be the following:

1. County errors went from less than one half of one percent by the private sector to greater than fifteen percent by County staff.

2. Numerous users were left stranded and severely inconvenienced.

3. Knowledge of locations of buildings, entrances, etc. were of critical importance- a factor not considered.

4. Many hundreds of people called daily to complain of the situation to local elected officials.

5. Drivers in the private sector lost considerable money due improper and poor routing and scheduling.

6. Nine days after the Dade County began Routing and Scheduling they returned it back to the private sector.

7. We believe that this successful program would have completely failed had the County continued to administer routing and scheduling.

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EVALUATION OF THE DADE COUNTY EXPERIENCE

1. When bids are issued, then criteria should be established regarding service provider capability for administration, management and service delivery.

2. It is far more difficult to monitor and audit a per mile system as opposed to a per unit system.

3. The private sector currently has developed the technical capability to provide a comprehensive routing and scheduling and/or service delivery system. Employ current resources.

4. If a system is not broke, then do not try to fix it.

5. Many private sector companies currently have the capability of providing extensive back up service in the event of computer malfunctions. In addition when overtime is necessitated, the private sector can and has worked its staff through the night to accomplish project goals. Government only has a limited capacity to match the private sector in this regard.

6. Private sector companies have the ability to cancel trips in the middle of the night and during weekends, thus saving wasted money and trips. Government cannot currently accomodate this important feature.

7. Greater government administrative costs reduce service to the user.

8. Government should abide by the Statement of Paratransit Issued on Oct. 13, 1982 by UMTA. It states, "In many communities the private sector stands as a readily available and efficient provider of paratransit services. UMTA wishes to preserve and enhance this role by encouraging private carriers to develop paratransit service wherever possible."

9. The private sector should be included in the decision making process. It is obvious that the private sector has

developed the expertise in the areas of service delivery and routing and scheduling. The private sector must be given the opportunity to both provide service and assist government officals in the formulation of cost effective policies that enhance human dignity.

10. Government must not compete in an unfair manner with the private sector. The public sector must be consistent in its dealings with the private sector and must not act in self interest.

11. When cost factors are used to analyze price, government entities bidding contracts against the private sector should include all other governmental funds they receive for labor, operational overhead and expenses and other government funds available to them. Fringe benefits should be included in the projections as well as matching funds from State, Federal or any other sources. Depreciation is a legimate expense and should be factored in, because equipment replacement will be necessary in the government sector as it is in the private sector. In the event that depreciation is not calculated, then a sinking fund for eqipment replacement should be established.

12. The private sector stands ready, willing and able to work hand in hand with government to achieve desired objectives.

13. "Profit" is not a dirty word. Private sector individuals have every right to earn a legitimate profit for their risk, expertise, technical ability and work.

☆U.S. GOVERNMENT PRINTING OFFICE: 1986 — 491-810: 20700

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DOT-I-86-04

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